UKL File Flow Incident

Service Improvement Plan October update

Oct 2021

Xoserve

Provided by: **correla**

File Flow Incident – Service Improvement Activities - Summary

Exec Summary

Following the last update provided to Contract Management Committee in August, we have continued to make good progress against our plan, with a further 19 actions completed, bringing the plan to 50% delivered.

It's worth noting that on August the 23rd we experienced another AMT Oracle database issue, which was a different fault to the one experienced in March. This fault was resolved quickly, with no disruption to our customers and full reconciliation of files completed automatically. Timely communications were issued and customer sentiment received post incident has been positive.

There are still 31 actions to complete and we remain committed to ensure full confidence remains in this service.

As a reminder, by driving the plan we are looking to deliver following benefits and outcomes:

- Improve resolution time and control over the outcome
- Have a single source of the truth for major incidents
- All high priority incidents have the right level of expertise and focus from our key vendors from the outset
- Ensure external customer framework will be effective and provide timely communications
- To ensure that during a major incident, all key suppliers and vendors are undertaking investigations together to drive rapid resolution
- Provide a mechanism of end-to-end auditing for file reconciliation that can be used to validate what has been sent vs what files have been received and processed.
- By ensuring that the test environment is a 100% match to Production this will reduce the risk of a Project change impacting the production environment.
- By using automation, we will reduce the time to stand-up a new environments should they be required to resolve Incidents in the future.
- Introduce solutions that reduce the risk of file deletion / duplication by improving current solutions (short-term) and looking at alternative options (long-term) to minimise file flow / industry impact.

Current Status

62 Recommendations identified

40% (24) In progress

11% (7) Not yet started

50% (31) Completed

Incident Management & Communications
- 24 Actions identified
- 12 Actions in progress
- 1 Actions not yet started
- 11 Actions completed

Vendor Management
- 14 Actions identified
- 0 Actions in progress
- 0 Actions not yet started
- 14 Actions completed

End-to-End Business Process Monitoring
- 11 Actions identified
- 4 Actions in progress
- 6 Actions not yet started
- 1 Actions completed

Technology
- 13 Actions identified
- 8 Actions in progress
- 0 Actions not yet started
- 5 Actions completed

File Flow Incident – Service Improvement Activities – October updates

Incident Management & Communications

- o The in-sourcing of Service Management completed successfully on the 1st October ensuring a smooth transition and knowledge transfer. Incident Management refresher training is underway during October to ensure awareness across all teams.
- o A Major incident comms process has been developed between the Technical and customer facing teams. This includes an "early warning" comms alerting of any potential issue that could impact our customers.
- o A review of the communication tools used during incidents has been completed. The option to integrate the Service Management & CRM tools is now being explored to enable a single view of the customer experience.
- o Work is continuing on the creation of the comms matrix, this includes the process to invoke a "crisis scenario" i.e. exceptional events for which exceptions means of communication and customer engagement is required.

Vendor Management (Completed)

- o A knowledge article has been created that describes the process of raising incidents with SAP. This includes capturing not only the technical impact but the industry impact of the incident. This process ensures that the incident is given the correct priority and focus by the vendor.
- o A review of all Vendor SLAs has now concluded. This now ensures that during the management of an incident the process for both operational escalations and management escalations are known and can be utilised. The escalation process has also been included in the Change management process so that when changes are raised it includes the escalation process for each vendor

End-to-End Business Process Monitoring

- o A file reconciliation report has been developed to ensure that in the event on an incident, all the files are validated against the report to ensure all have been processed.
- o The file flow mechanism used to process the files following has now been productionised. This allows the files to be processed in a controlled manner following an incident.
- o Investigations into the options to enhance file monitoring solution and the feasibility of linking the file monitoring to the MPRN continue. The current action to provide an options paper is due to conclude in Oct 21. The options paper will include both tactical and longer term strategic options.

Technology

- o Data archiving & volume reduction activities have concluded on the MarketFlow DB. This activity has reduced the database by 70% (32TB to 10TB) and reduced the risk of reoccurrence.
- o Activities to archive the databases across the UK link Platform continue with 1TB worth of data already saved.
- o A review of the test environments and variance to the production environment has been completed and showed a 99% match. The outstanding item is now being addressed to be wholly aligned by Nov 21.
- o A tactical solution to increase the IX storage temporarily from 10 days to 30 days has been identified. This option would allow the files to be stored for up to 30 days during the course of an incident, thus mitigating the risk of file loss. Once the incident is resolved the settings would be reverted back to 10 days. A script is being developed to simplify and optimise the process. A longer term strategic solution is also under investigation.

- ➤ Improve right first time and control the outcome
- ➤ Improve customer experience by management of major incidents more effectively
- ➤ Utilise tools that improve customer engagement process

- ➤ Reduce resolution time by ensuring ownership and investigation of incident
- ➤ Improve right first time by sharing lessons learned and improving processes
- ➤ Reduce resolution times by improving ways of working between vendors

---

- ➤ Reduce resolution time by improving file reconciliation
- ➤ Improve right first time by improving monitoring and reducing impact of the incident
- ➤ Improve right first time by prioritising critical files

- ➤ Mitigate risk by reducing size of critical databases and implementing archiving policies
- ➤ Reduce risk of reoccurrence by enhancing testing
- ➤ Reduce impact of the incident by minimising risk of file loss

Appendix – August update slides

File Flow Incident – Service Improvement Activities – Summary (August)

Exec Summary

Following on from the last update provided in June an action plan has now been formulated and activity is underway to address the lessons learned

As highlighted in the Major Incident Review, the focus of the plan is to drive improvements in the key areas of Incident Management, Communications, Vendor Management, Business Processing and Technology

These slides provide an update on the current status of the overall plan, some of the key activities that are underway, and how they link to the overall intended outcome and benefit to customers

As a reminder, by driving the plan we are looking to deliver following benefits and outcomes:

- Improve resolution time and control over the outcome
- Have a single source of the truth for major incidents
- All high priority incidents have the right level of expertise and focus from our key vendors from the outset
- Ensure external customer framework will be effective and provide timely communications
- To ensure that during a major incident, all key suppliers and vendors are undertaking investigations together to drive rapid resolution
- Provide a mechanism of end-to-end auditing for file reconciliation that can be used to validate what has been sent vs what files have been received and processed.
- By ensuring that the test environment is a 100% match to Production this will reduce the risk of a Project change impacting the production environment.
- By using automation, we will reduce the time to stand-up a new environments should they be required to resolve Incidents in the future.
- Introduce solutions that reduce the risk of file deletion / duplication by improving current solutions (short-term) and looking at alternative options (long-term) to minimise file flow / industry impact.
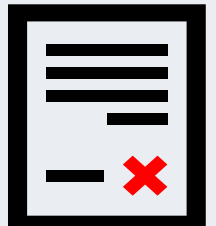
Current Status

62 Recommendations identified

52% In progress

29% Not yet started

19% Completed

Incident Management & Communications
24 Actions identified
13 Actions in progress
5 Actions not yet started
6 Actions completed

Vendor Management
14 Actions identified
4 Actions in progress
4 Actions not yet started
6 Actions completed

End-to-End Business Process Monitoring
11 Actions identified
5 Actions in progress
6 Actions not yet started
0 Actions completed

Technology
13 Actions identified
10 Actions in progress
3 Actions not yet started
0 Actions completed

File Flow Incident – Service Improvement Activities – August updates

Incident Management & Communications

- A feasibility study to bring Service Management (Incident, Problem and Change Management) in-house and approved. Notice has now been served on the 3rd party supplier.
- A Correla Incident Management Lead has now been hired and additional recruitment is in progress. The in-sourcing transition plan is now underway to ensure successful transition of services and Knowledge Transfer, with the in-sourced service to commence from 1st Oct 21.
- Major incident process is being developed to include "early warning" comms of a potential issue that could cause an impact to a customer.
- A communication matrix is under development that will detail what communication approach and template should be adhered to depending on size and complexity of the incident.
- Initial review of communications templates complete, items are being built into our CRM platform to help manage the process and issue of comms consistently

Vendor Management

- A lessons learned with SAP has been conducted, key areas for improvement have been identified and acknowledged by SAP to address.
- SAP have shared their process for escalation to ensure challenges faced during the incident have been addressed.
- Correla resources have now been provided with access to the SAP incident Portal. This will allow members of the Service teams to view live updates on any SAP incidents to help ensure appropriate action is being taken
- Regular services and engagement reviews have been established with SAP and other key vendors, this includes quarterly Exec reviews to ensure criticality of services are understood.
- A review of the Major Incident Report has been conducted with all 3rd parties and shared with all relevant teams to ensure lessons learned
- A review of all Vendor SLAs is underway to include the process for both operational escalations and management escalations is capture and maintained

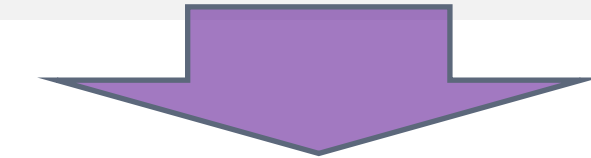## End-to-End Business Process Monitoring

- The file flow mechanism used to process the files following the incident is now being productionised to provide an automated process should the need ever arise
- Investigations have begun into the options to enhance file monitoring solution and the feasibility of linking the file monitoring to the MPRN. A Proof of Concept has been initiated is scheduled run till Nov 21. This will include looking at options to allow customers to be able to "self validate" by MPRN
- An internal review of all critical files is underway which will include the creation of a review process that includes customers to ensure alignment.

Technology

- Data archiving and volume reduction activities have started on the MarketFlow Database. The activity is due to conclude at the end of Aug and will look to reduce the database size by 47%. By reducing the size of the database, we also reduce the risk of reoccurrence
- Activities to implement appropriate archiving solutions across the UK link Platform is underway and due to conclude in Oct021. This will help to reduce the size of the all the databases across the platform
- A review of the test environments and differences to the production environment has been undertaken. GAP analysis is now underway.
- Options to minimise the risk of file loss are being explored. This will look at the viability of increasing the capacity for files from 10 days to 30 days before files are purged

---

| Improve right first time and control the outcome | Reduce resolution time by ensuring ownership and investigation of incident | Reduce resolution time by automating file reconciliation | Mitigate risk by reducing size of critical databases and implementing archiving policies |

- Improve right first time and control the outcome
- Improve customer experience by management of major incidents more effectively
- Ensure the right audience, receives the right information, at the right time to reduce impact of incident
- Utilise tools that improve customer engagement process

- Reduce resolution time by ensuring ownership and investigation of incident
- Improve right first time by sharing lessons learned and improving processes
- Reduce resolution times by improving ways of working between vendors

- Reduce resolution time by automating file reconciliation
- Improve right first time by improving monitoring and file reconciliation processes
- Improve right first time by prioritising critical files

- Mitigate risk by reducing size of critical databases and implementing archiving policies
- Reduce risk of reoccurrence by enhancing testing
- Reduce impact of the incident by minimising risk of file loss