

### **Schedule 8.3 – Major Incident Management**

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# **1 Introduction**

## **1.1 Scope and Purpose**

- 1.1.1 This Schedule 8.3 (Major Incident Management) sets out the requirements for the Contractor to develop and maintain plans for the management of Major Incidents and recovery of the Services after such incidents.
- 1.1.2 The objectives of this Schedule, which shall be deemed TTL Objectives for the purposes of Clause 3 (Objectives), are to ensure that:
- (a) TTL is Assured that a failure of any part of the Services will be recovered and all non-available parts of the System will be brought back into service with the minimum disruption to Customers;
  - (b) the integrity of TTL's sales, revenue collection, revenue protection and data services will be protected as far as possible during any Major Incident; and
  - (c) where practical, the Service Levels will be maintained during any Major Incident.
- 1.1.3 The Contractor acknowledges and agrees that Major Incident management in respect of the Services is fully dependent upon the Service Recovery Plan and that it is necessary for the Contractor to ensure business continuity and the provision of the Services pursuant to the terms of this Contract in all circumstances, events and scenarios, including in respect of and following a Major Incident.

## **1.2 Documents to be provided by the Contractor**

- 1.2.1 On the Service Commencement Date, the Contractor shall provide to TTL copies of the current service recovery plans or relevant major incident information used in connection with the System to be taken over by the Contractor.
- 1.2.2 The Contractor shall prepare, submit and maintain the following documents in accordance with the provisions of this Schedule:
- (a) the Major Incident List;
  - (b) the Service Recovery Plan; and
  - (c) the Major Incident Reports.

## 2 Major Incidents and Service Recovery

### 2.1 Major Incident Categories

- 2.1.1 Any event which materially adversely affects the delivery of the Services shall be treated as a major incident (a "**Major Incident**"). The severity and response to any Major Incident shall be governed by the relevant category of Major Incident as defined below:
- (a) Category 1 – a Major Incident which involves a material failure of any part, or all, of the Services across an entire Domain and/or Module Group or the material unavailability of any Data Centre and/or Key Site for more than one (1) hour, including but not limited to:
    - (i) a material failure of the Prestige Back Office Modules or the FTP Back Office Modules;
    - (ii) a material failure of the Rail Data Gathering Centre or the Bus Data Gathering Centre;
    - (iii) a Technical Change that causes the System to fail to validate one or more types of Card or be able to retail one or more category of Travel Product; and
    - (iv) any Major Incident shown as Category 1 in the Major Incident List.
  - (b) Category 2 – a Major Incident which involves a material failure of a part of the Services on all applicable Devices or a failure of a type of Module and/or Device at more than one Site or a prolonged Customer-facing System Failure for more than one (1) hour but less than four (4) hours including but not limited to:
    - (i) an inability to validate a Card or retail a Travel Product at more than one Site;
    - (ii) loss of credit and/or debit card acceptance at more than one Site; and
    - (iii) any Major Incident shown as Category 2 in the Major Incident List.

Where a Category 2 Major Incident continues for more than four (4) hours, it shall be deemed a Category 1 Major Incident.
  - (c) Category 3 – a Major Incident which involves a material failure of a part of the Services on all applicable Devices or a failure of a type of Module and/or Device at a single Site, other than those provided for in Category 1 or Category 2.

### 2.2 Major Incident List

- 2.2.1 An initial list of Major Incidents (the "**Major Incident List**") appears in Appendix 1. The Parties shall meet and agree an updated Major Incident List prior to the Service Commencement Date.
- 2.2.2 The Parties shall jointly agree the suitable categorisation of Major Incidents according to their impact on the provisions of the Services and in accordance with paragraph 2.1.

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- 2.2.3 The Parties agree and acknowledge that in categorising the Major Incidents, the Parties will agree those Major Incidents which would be deemed a Category 1 if they were to occur. The Parties shall meet from time to time at the request of either Party on ten (10) Business Days' prior written notice to review the Major Incident List and agree any necessary amendments (but in any event, such meeting shall be held at least once each Contract Year and if no date is specified by either Party, the date shall be deemed to be the anniversary of the Service Commencement Date (or the Business Day immediately prior to the anniversary of the Service Commencement Date if it falls on a non-Business Day)).
- 2.2.4 The Contractor shall be responsible for reviewing and updating the Major Incident List following each Change and each Major Incident in accordance with this Schedule and if the Contractor fails to do so, the Contractor shall prepare and issue a Corrective Action Plan within ten (10) Business Days in accordance with Schedule 12.4 (Contract Management).

### **2.3 Service Recovery Plan**

- 2.3.1 The Contractor shall:
- (a) ensure that a draft Service Recovery Plan is prepared and submitted to TTL for Assurance in accordance with Schedule 10.5 (Assurance); and
  - (b) update the Service Recovery Plan each Period and after any Major Incident. If the Contractor fails to update the Service Recovery Plan accordingly, it shall prepare and issue a Corrective Action Plan within ten (10) Business Days in accordance with Schedule 12.4 (Contract Management).
- 2.3.2 The Service Recovery Plan shall, as a minimum, include:
- (a) an introduction describing the purpose and structure of the Service Recovery Plan and how to use the Service Recovery Plan;
  - (b) a master plan describing the overall strategy for ensuring business continuity (and for responding to a Major Incident) in respect of the Services and the System;
  - (c) a risk and issues assessment in relation to all parts of the Services, including:
    - (i) failure or disruption scenarios and assessments and estimates of frequency of occurrence;
    - (ii) identification of any single points of failure within the Services and associated risk management processes;
    - (iii) identification of risks arising from the interaction of the Services with the services provided by a Related Contractor; and
    - (iv) a business impact analysis (detailing the impact on business processes and operations) of different anticipated failures or disruptions;
  - (d) a description of all methods, processes and procedures and other actions and sequences to be followed in managing and responding to Major Incidents, such as:
    - (i) identifying the start and finish of Major Incidents;

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- (ii) notifying and liaising with TTL, Customers, Related Contractors, Interfacing Parties and Third Parties;
    - (iii) agreeing with TTL who should lead the management of a Major Incident and ensuring clarity of responsibility;
    - (iv) the assignment of Personnel and tasks;
    - (v) using or recalling backups or storage;
    - (vi) recovering, re-entering or correcting Data; and
    - (vii) deploying additional Personnel or other resources, processes or procedures;
  - (e) management and review activities including:
    - (i) the escalation process for each Major Incident category as set out in paragraph 2.1.1 above;
    - (ii) a communications plan (including declaration of the Major Incident and verification of recovery and restoration of the Services); and
    - (iii) the arrangements for preparing and training Contractor Personnel to deal with Major Incidents;
  - (f) details of contingency plans, including extending the Service Recovery Plan for a Major Incident such as a permanent loss of Sites;
  - (g) the Major Incident List; and
  - (h) how the Contractor shall manage System Failures involving Related Contractors, Interfacing Parties and/or other Third Parties.
- 2.3.3 The Contractor acknowledges that Category 1 Major Incidents would have a greater impact upon Customers and/or the operation of the System and/or the Services and shall ensure that the Service Recovery Plan reflects the materiality of such Major Incidents.
- 2.3.4 The Contractor shall expand the Service Recovery Plans as the System is modified and New Services, New Technologies and other Variations and Changes are introduced.
- 2.3.5 The Contractor shall ensure that the Service Recovery Plan is designed in such a way to ensure that:
- (a) it does not depend on any other Related Contractors and/or Interfacing Parties adjusting their Hardware, Software or systems as a result of any Major Incident unless this has been agreed in writing by TTL;
  - (b) appropriate measures are adopted to ensure that the security of the Services and the System are not compromised where possible and, where this is not possible, that any associated risk is properly managed; and
  - (c) its objective is to allow the Services to be provided by the Contractor in accordance with the Service Levels and to mitigate the adverse impact of a Major Incident.

## **2.4 Review of Service Recovery Plans**

- 2.4.1 The Contractor shall incorporate lessons learned from any Major Incident into the Service Recovery Plan and shall issue to TTL for Assurance a draft of the updated sections of the Service Recovery Plan prior to the re-issue of the full Service Recovery Plan.
- 2.4.2 The Contractor shall regularly review the Service Recovery Plan and shall issue the updated plan to TTL for Assurance as new Major Incidents are identified and added to the Major Incident List.

## **2.5 Testing**

- 2.5.1 In accordance with Clause 22.5 (Major Incident Management), the Service Recovery Plan shall include the Contractor's proposals for periodic testing to be undertaken to Assure TTL that appropriate and sufficient arrangements have been put in place to manage those Major Incidents (the "**Preparedness Tests**"). Such Preparedness Tests shall include, as a minimum, desktop and/or simulation testing where it is demonstrated by the Contractor that testing on the System would have an adverse impact on Customer services.
- 2.5.2 The Preparedness Tests shall include, where applicable, a 'fail over' test to be carried out at least twice per year for each of the Module Groups, Modules, Components (as set out in Schedules 6.2 (FTP Back Office System) (excluding FTP Data Management), 6.3 (ITSO System), 6.4 (Prestige Back Office System), 6.5 (Data Landing Systems) and 6.6 (Operational Support System)) and the Wide Area Network.
- 2.5.3 The Contractor shall undertake and manage the Preparedness Tests envisaged under this paragraph 2.5 in full consultation with TTL and any Related Contractors and/or Interfacing Parties or any Third Party nominated by TTL and will liaise with TTL in respect of the planning, performance and review of each Preparedness Test.
- 2.5.4 The scope and timing of the Preparedness Tests shall be developed with TTL and incorporated into the Programme Portfolio Plan in accordance with the requirements of Schedule 10.2 (Programme and Project Lifecycle).

## **2.6 Reports and Meetings**

- 2.6.1 Following the resolution of a Major Incident, the Contractor shall prepare a report (a "**Major Incident Report**") which shall include but shall not be limited to:
  - (a) details of the trigger(s) for the Major Incident;
  - (b) details of the Major Incident (e.g. duration, scope of Services affected, impact on the System, cause of the incident etc);
  - (c) an explanation of the solution deployed by the Contractor and a summary statement as to how well (or otherwise) the Contractor handled the Major Incident;
  - (d) the lessons learned by the Contractor as a result of the Major Incident;
  - (e) any proposed changes to the Contractor's procedures and the Service Recovery Plan; and

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- (f) proposed amendments to Related Contractors' or Interfacing Parties' procedures, systems and plans in the event that the Contractor's investigations into the trigger for the Major Incident reveal that the Major Incident was caused as the result of an act or omission of a Related Contractor or Interfacing Party.
- 2.6.2 A draft of the Major Incident Report shall be prepared and submitted to TTL within ten (10) Business Days of any Major Incident having been resolved and in the event that the Contractor fails to do so it shall prepare and issue a Corrective Action Plan in accordance with Schedule 12.4 (Contract Management). TTL and the Contractor shall meet to discuss the draft Major Incident Report within five (5) Business Days of its submission and the Contractor shall finalise the Major Incident Report within a further five (5) Business Days of such meeting.
- 2.6.3 The Contractor shall include a summary of all occurrences of a Major Incident in the Service Performance Report prepared each Period by the Contractor in accordance with Schedule 4.1 (Service Delivery) which shall be discussed at the corresponding Service Review Meetings.



# Appendix 1

## Major Incident List

### Category 1 Major Incidents

Ref	Service Area	Service	Major Incident
CE1	Back Office	Prestige Back Office Services	Central System failure
CE2 / CE13	Back Office	Data Landing Modules	Rail/Bus DGC failure
CE18	Back Office	Data Centres	Data Centre / Centres failure
CE4	Service Delivery	Level 1 Help Desk	Contractor's Level 1 Help Desk site is compromised/inaccessible
CE5	Service Delivery	Support Services	Contractor's workshop and other Support Services sites are compromised
CE6	Back Office	FTP Back Office Services	PCS/PaRE/FAE failures
CE7	Service Delivery	Change Management	A planned software change results in the loss of validation or retail services across the
CE39	Back Office	ITSO Services	TTL ITSO HOPS failure
CE8	Front Office	Validation and Access	Prestige Hotlist, ITSO Hotlist and/or Status List causes failure of Validation Devices or Validation Zones for all LU and Rail Services
CE20	Back Office	Security	Breach of system security/integrity (incl. Prestige Cards)

**Schedule 8.3 – Major Incident Management****Category 2 Major Incidents**

Ref	Service Area	Service	Major Incident
CE9	Fares Revision	Fares Revision	Upload of any of the Fare Tables to Surface Transport, LU and Rail Services results in incorrectly advertised fares being charged
CE24	Service Delivery	Support Services	Workshop/stores are compromised/damaged
CE25	Back Office	Prestige Back Office Services	BCP failure where all services and functions provided by the server are lost
CE11	Back Office	Prestige Back Office Services	Web application services failure
CE16	Back Office	Prestige Back Office Services	Actuate failure where all services and functions provided by the server are lost
CE29	Back Office	Prestige Back Office Services	KMS failure where all services and functions provided by the server are lost
CE2	Fares Revision	Fares Revision	Fare Revision Fares Tables fail to upload on the day of a planned Fares Revision to the System.
CE25	Surface Transport	Garage Equipment	Loss of operation of a Garage, Garage Computer(s) and Garage Terminal(s)
CE38	Surface Transport	Network	Interfacing Systems and Related Systems out of operation affecting more than 1 post code area
CE7	LU Services	Retail Services	No credit card facilities available at more than 1 LU Site or Rail Sites
CE30	Sales Services	Card Enablement	Failure of all Bulk Enablement Units

**Schedule 8.3 – Major Incident Management****Category 3 Major Incidents**

Ref	Service Area	Service	Major Incident
CE19	Surface Transport Services	Data Services	BCMS not receiving data from LTACC
CE26	Surface Transport Services	Garage Equipment	Loss of operation of the Garage Interactive Display unit
CE32	Surface Transport Services	Consumables	Ticket consumables packs at a bus Garage falls below defined low stock level
CE39	LU Services	Retail Services	No credit card and/or debit card facilities at a single Station Zone
CE22	Service Delivery	Level 1 Help Desk	Contractor Level 1 Help Desk becomes unavailable due to communications failure
CE27	LU Services	Validation Services	Loss of all Validation Services in a Validation Zone, irrespective of any Interfacing System and Related Systems involvement
CE28	LU Services	Retail Services	Loss of all Retail Services in a Station Zone
CE8	Sales Services	Consumables	Travel Products with incorrect prices provided
CE17	Sales Services	Card Enablement	All Manual Card Enablers are out of service
Ce26	Back Office	Prestige Back Office Services	TODB/PAF failures where all services and functions provided by the server are lost