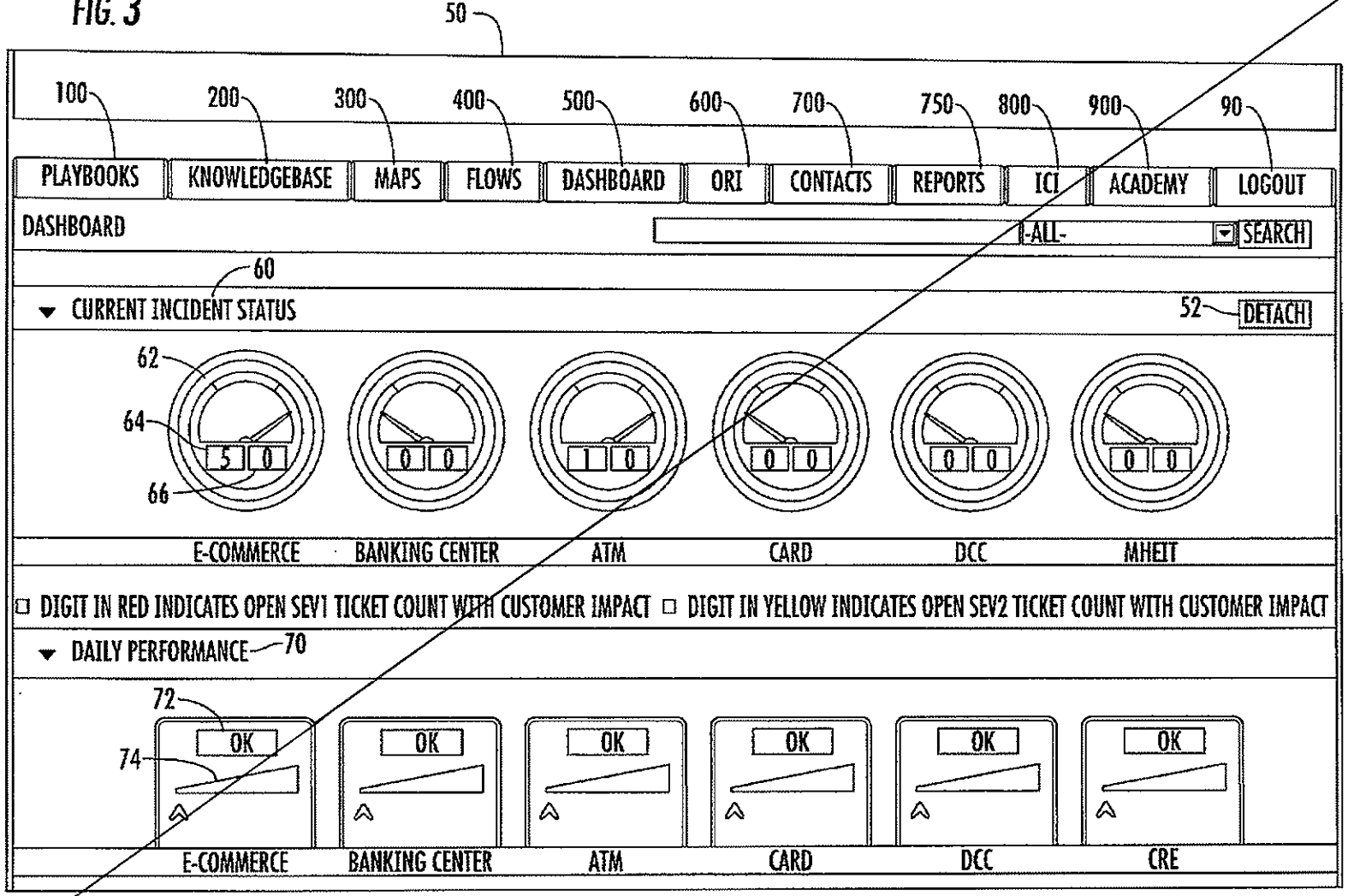
FIG. 3


50
100
200
300
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700
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PLAYBOOKS
KNOWLEDGEBASE
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DASHBOARD
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-ALL-
SEARCH
60
CURRENT INCIDENT STATUS
52
DETACH
62
64
66
5 0
0 0
1 0
0 0
0 0
0 0
E-COMMERCE
BANKING CENTER
ATM
CARD
DCC
MHEIT
DIGIT IN RED INDICATES OPEN SEV1 TICKET COUNT WITH CUSTOMER IMPACT
DIGIT IN YELLOW INDICATES OPEN SEV2 TICKET COUNT WITH CUSTOMER IMPACT
DAILY PERFORMANCE
70
72
74
OK
OK
OK
OK
OK
OK
E-COMMERCE
BANKING CENTER
ATM
CARD
DCC
CRE

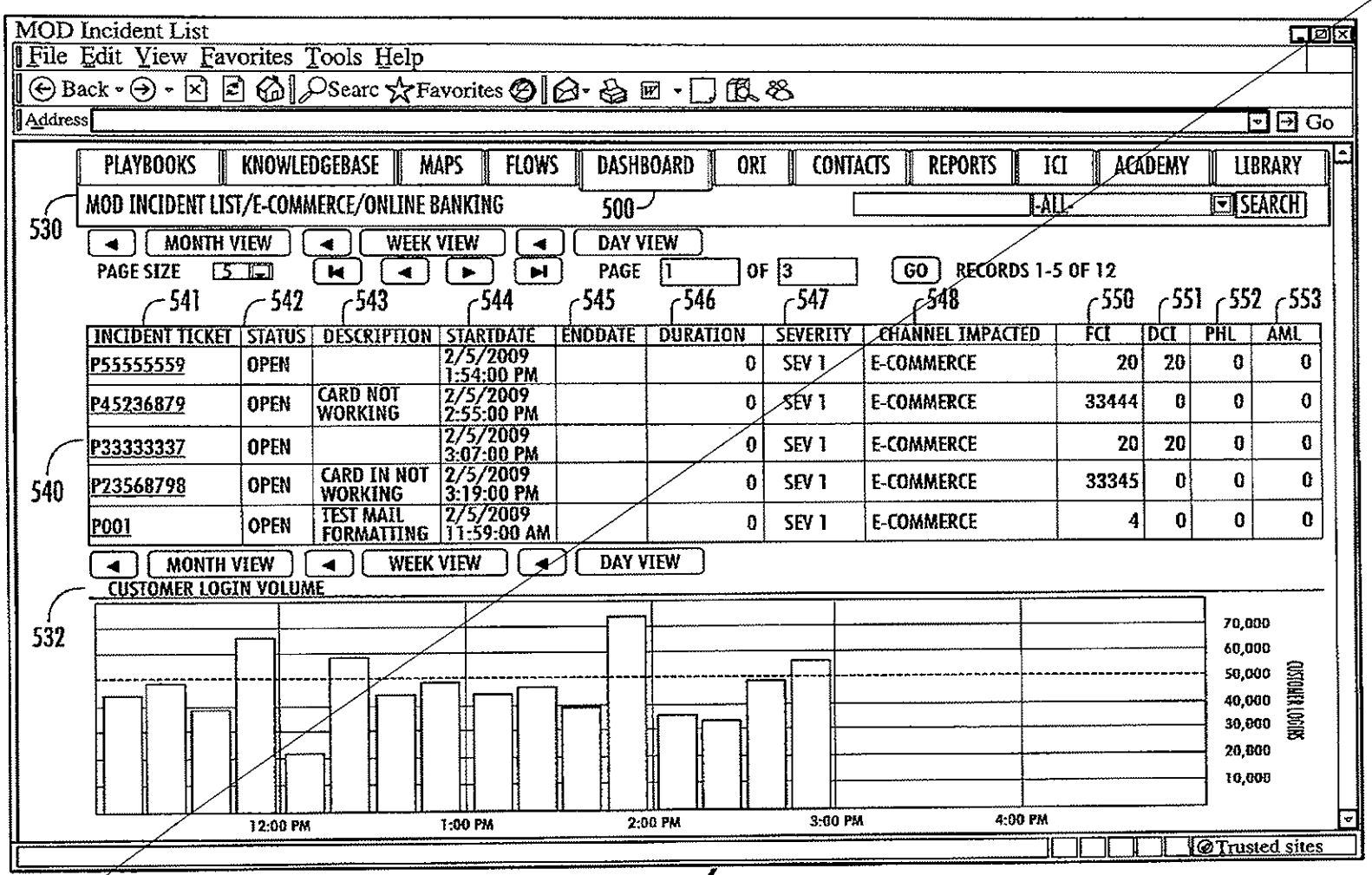

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ACADEMY
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530
MOD INCIDENT LIST/E-COMMERCE/ONLINE BANKING
500
-ALL-
SEARCH
MONTH VIEW
WEEK VIEW
DAY VIEW
PAGE SIZE 5
PAGE 1 OF 3
GO
RECORDS 1-5 OF 12
541
542
543
544
545
546
547
548
550
551
552
553
INCIDENT TICKET
STATUS
DESCRIPTION
STARTDATE
ENDDATE
DURATION
SEVERITY
CHANNEL IMPACTED
FCI
DCI
PHL
AML
P55555559 OPEN 2/5/2009 1:54:00 PM 0 SEV 1 E-COMMERCE 20 20 0 0
P45236879 OPEN CARD NOT WORKING 2/5/2009 2:55:00 PM 0 SEV 1 E-COMMERCE 33444 0 0 0
P33333337 OPEN 2/5/2009 3:07:00 PM 0 SEV 1 E-COMMERCE 20 20 0 0
540
P23568798 OPEN CARD IN NOT WORKING 2/5/2009 3:19:00 PM 0 SEV 1 E-COMMERCE 33345 0 0 0
P001 OPEN TEST MAIL FORMATTING 2/5/2009 11:59:00 AM 0 SEV 1 E-COMMERCE 4 0 0 0
MONTH VIEW
WEEK VIEW
DAY VIEW
CUSTOMER LOGIN VOLUME
532
70,000
60,000
50,000
40,000
30,000
20,000
10,000
CUSTOMER LOGINS
12:00 PM
1:00 PM
2:00 PM
3:00 PM
4:00 PM
Trusted sites
736

FIG. 6

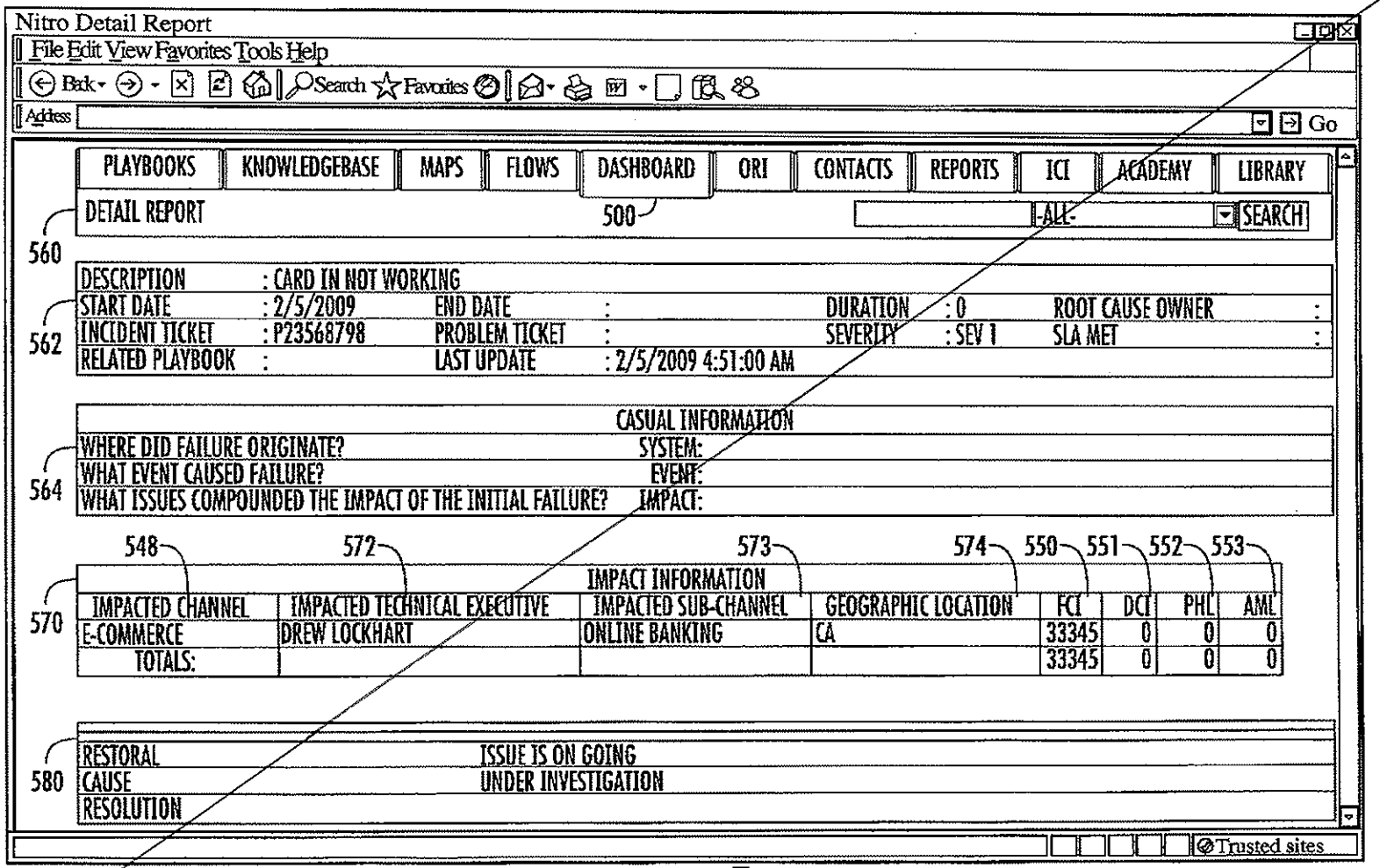

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ORI
CONTACTS
REPORTS
ICI
ACADEMY
LIBRARY
DETAIL REPORT
500
-ALL-
SEARCH
560
DESCRIPTION : CARD IN NOT WORKING
START DATE : 2/5/2009
END DATE :
DURATION : 0
ROOT CAUSE OWNER :
INCIDENT TICKET : P23568798
PROBLEM TICKET :
SEVERITY : SEV 1
SLA MET :
562
RELATED PLAYBOOK :
LAST UPDATE : 2/5/2009 4:51:00 AM
CASUAL INFORMATION
WHERE DID FAILURE ORIGINATE?
SYSTEM:
WHAT EVENT CAUSED FAILURE?
EVENT:
564
WHAT ISSUES COMPOUNDED THE IMPACT OF THE INITIAL FAILURE?
IMPACT:
548
572
573
574
550
551
552
553
IMPACT INFORMATION
570
IMPACTED CHANNEL
IMPACTED TECHNICAL EXECUTIVE
IMPACTED SUB-CHANNEL
GEOGRAPHIC LOCATION
FCI
DCI
PHL
AML
E-COMMERCE
DREW LOCKHART
ONLINE BANKING
CA
33345
0
0
0
TOTALS:
33345
0
0
0
RESTORAL
ISSUE IS ON GOING
580
CAUSE
UNDER INVESTIGATION
RESOLUTION
Trusted sites

FIG. 7

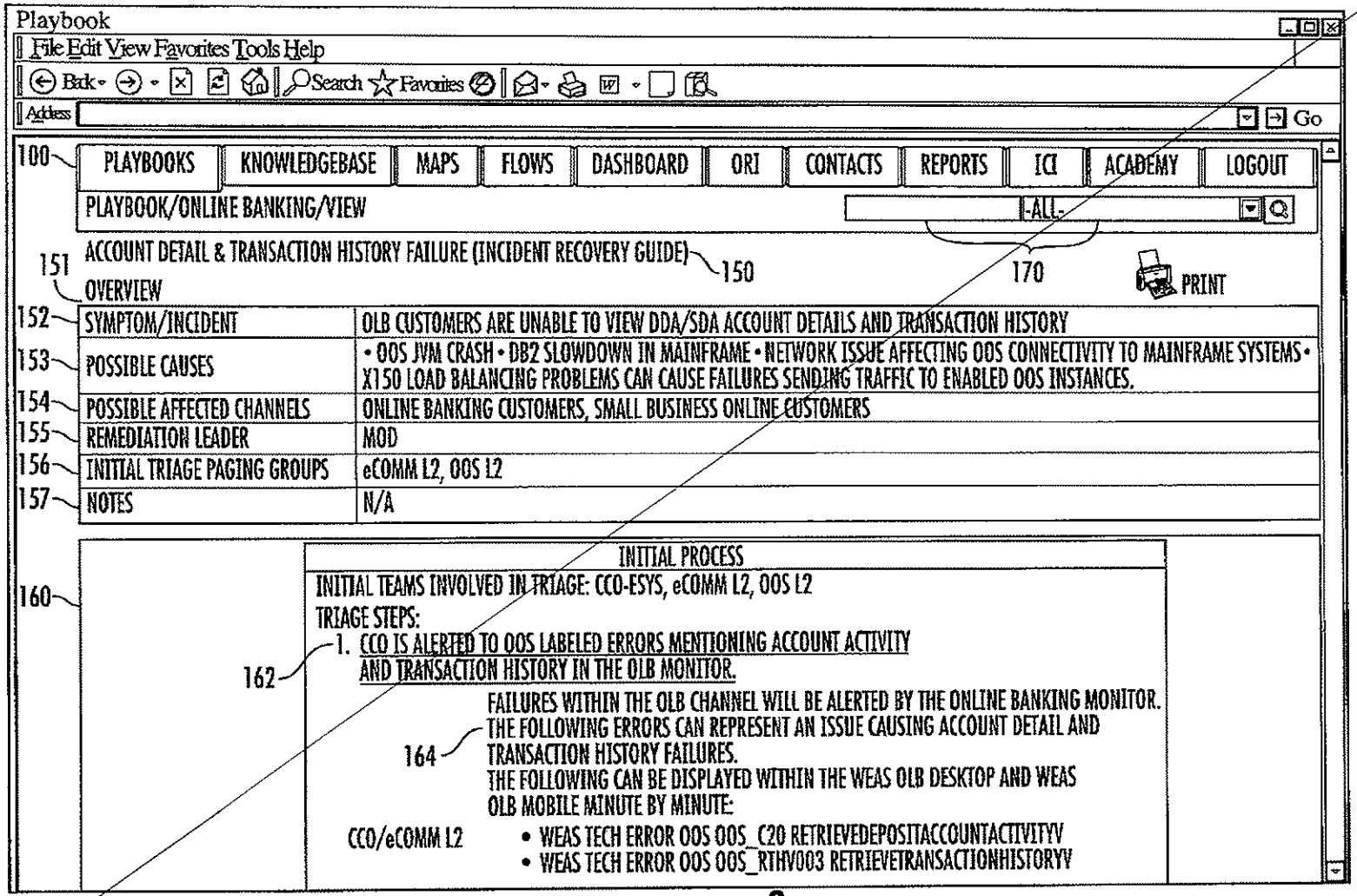

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LOGOUT
PLAYBOOK/ONLINE BANKING/VIEW
-ALL-
ACCOUNT DETAIL & TRANSACTION HISTORY FAILURE (INCIDENT RECOVERY GUIDE)
150
170
PRINT
151
OVERVIEW
152
SYMPTOM/INCIDENT
OLB CUSTOMERS ARE UNABLE TO VIEW DDA/SDA ACCOUNT DETAILS AND TRANSACTION HISTORY
153
POSSIBLE CAUSES
• OOS JVM CRASH • DB2 SLOWDOWN IN MAINFRAME • NETWORK ISSUE AFFECTING OOS CONNECTIVITY TO MAINFRAME SYSTEMS • X150 LOAD BALANCING PROBLEMS CAN CAUSE FAILURES SENDING TRAFFIC TO ENABLED OOS INSTANCES.
154
POSSIBLE AFFECTED CHANNELS
ONLINE BANKING CUSTOMERS, SMALL BUSINESS ONLINE CUSTOMERS
155
REMEDIATION LEADER
MOD
156
INITIAL TRIAGE PAGING GROUPS
eCOMM L2, OOS L2
157
NOTES
N/A
160
INITIAL PROCESS
INITIAL TEAMS INVOLVED IN TRIAGE: CCO-ESYS, eCOMM L2, OOS L2
TRIAGE STEPS:
1. CCO IS ALERTED TO OOS LABELED ERRORS MENTIONING ACCOUNT ACTIVITY AND TRANSACTION HISTORY IN THE OLB MONITOR.
162
FAILURES WITHIN THE OLB CHANNEL WILL BE ALERTED BY THE ONLINE BANKING MONITOR.
164
THE FOLLOWING ERRORS CAN REPRESENT AN ISSUE CAUSING ACCOUNT DETAIL AND TRANSACTION HISTORY FAILURES.
THE FOLLOWING CAN BE DISPLAYED WITHIN THE WEAS OLB DESKTOP AND WEAS OLB MOBILE MINUTE BY MINUTE:
CCO/eCOMM L2
• WEAS TECH ERROR OOS OOS_C20 RETRIEVEDEPOSITACCOUNTACTIVITYV
• WEAS TECH ERROR OOS OOS_RTHV003 RETRIEVETRANSACTIONHISTORYV

FIG. 8

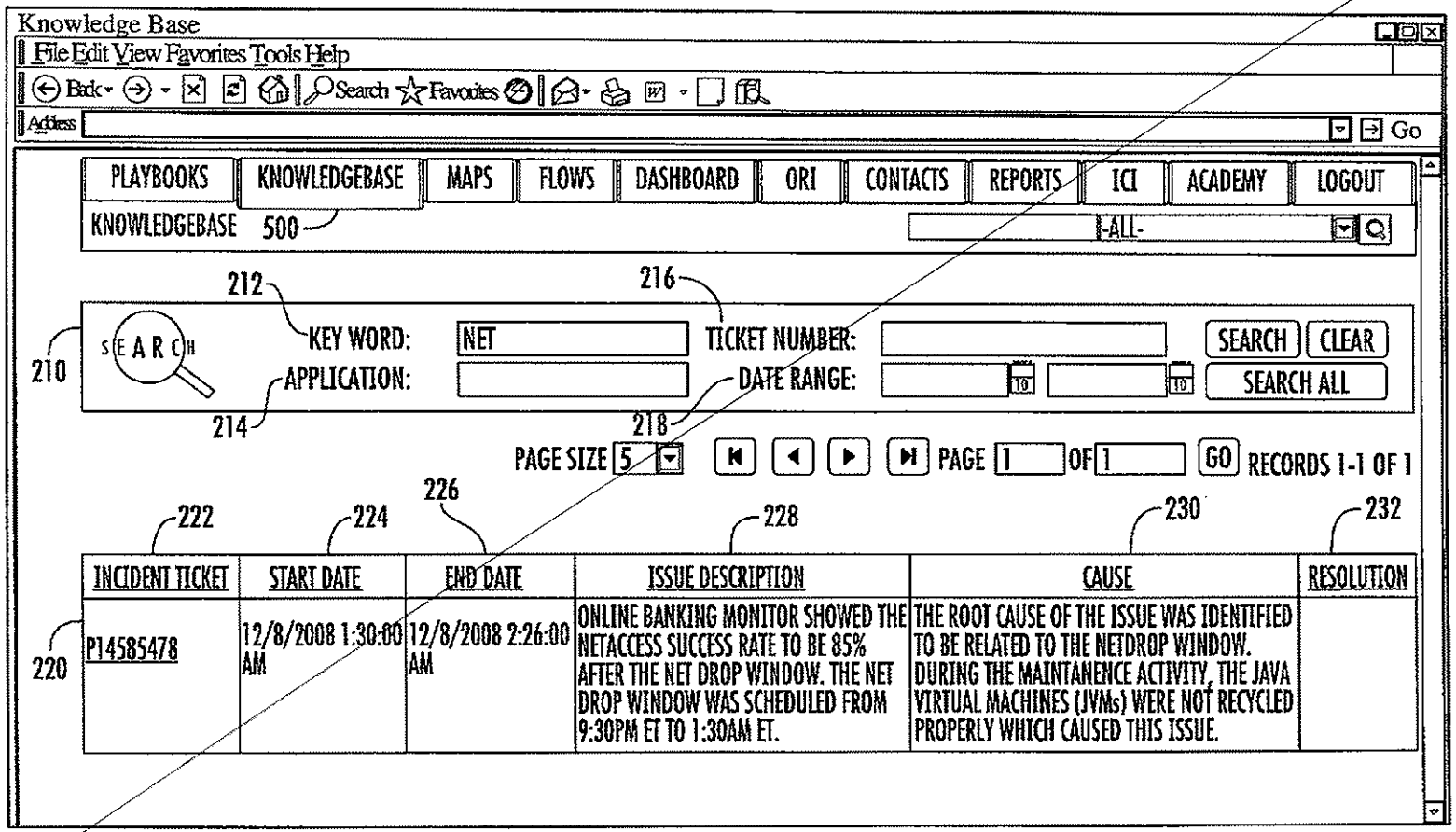

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500
-ALL-
212
216
210
SEARCH
KEY WORD:
NET
TICKET NUMBER:
SEARCH
CLEAR
APPLICATION:
DATE RANGE:
SEARCH ALL
214
218
PAGE SIZE 5
PAGE 1 OF 1
GO
RECORDS 1-1 OF 1
222
224
226
228
230
232
INCIDENT TICKET
START DATE
END DATE
ISSUE DESCRIPTION
CAUSE
RESOLUTION
220
P14585478
12/8/2008 1:30:00 AM
12/8/2008 2:26:00 AM
ONLINE BANKING MONITOR SHOWED THE NETACCESS SUCCESS RATE TO BE 85% AFTER THE NET DROP WINDOW. THE NET DROP WINDOW WAS SCHEDULED FROM 9:30PM ET TO 1:30AM ET.
THE ROOT CAUSE OF THE ISSUE WAS IDENTIFIED TO BE RELATED TO THE NETDROP WINDOW. DURING THE MAINTANENCE ACTIVITY, THE JAVA VIRTUAL MACHINES (JVMs) WERE NOT RECYCLED PROPERLY WHICH CAUSED THIS ISSUE.

FIG. 9

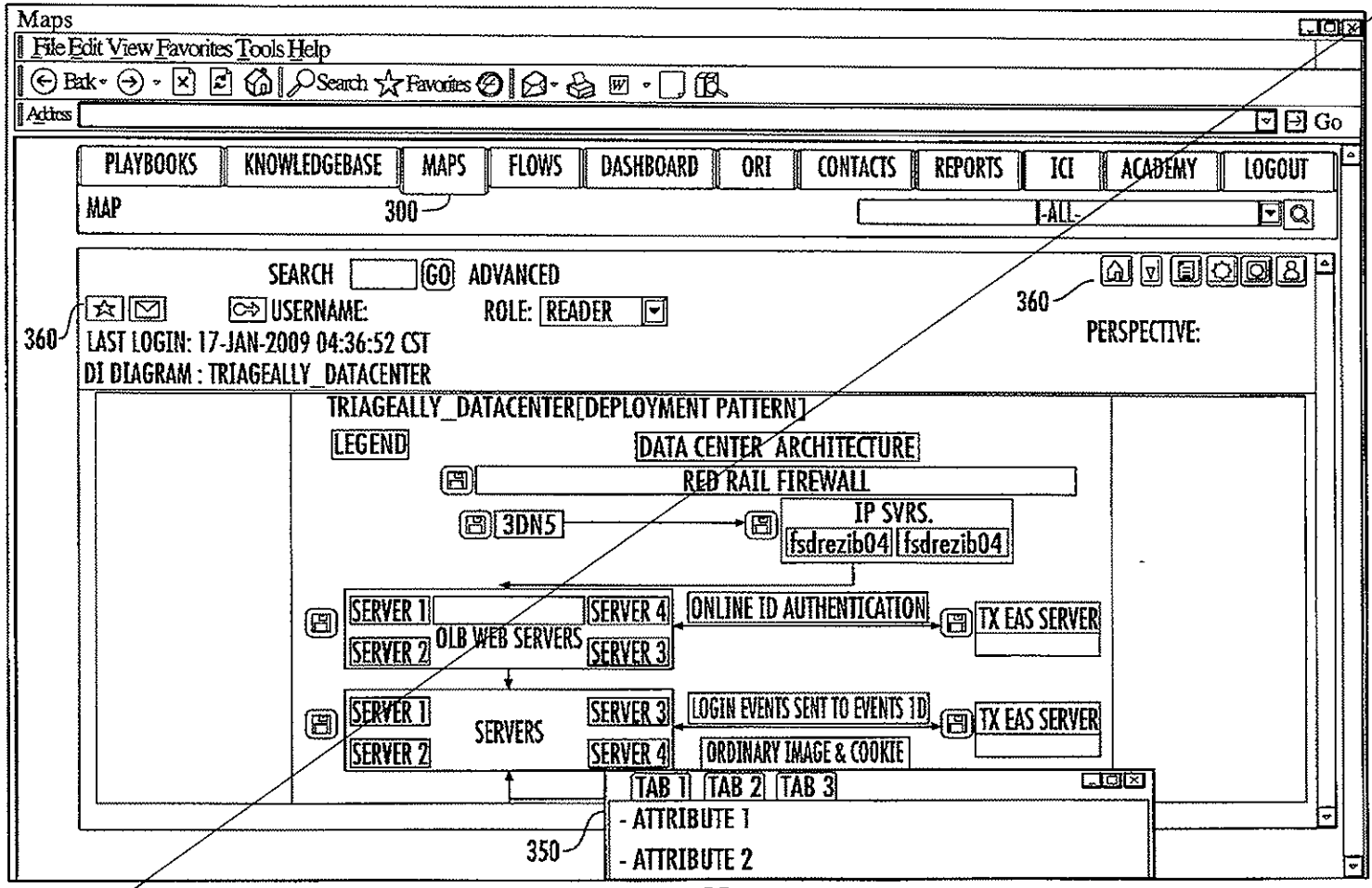

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ICI
ACADEMY
LOGOUT
MAP
300
-ALL-
SEARCH
GO
ADVANCED
360
USERNAME:
ROLE: READER
LAST LOGIN: 17-JAN-2009 04:36:52 CST
DI DIAGRAM : TRIAGEALLY_DATACENTER
360
PERSPECTIVE:
TRIAGEALLY_DATACENTER[DEPLOYMENT PATTERN]
LEGEND
DATA CENTER ARCHITECTURE
RED RAIL FIREWALL
3DN5
IP SVRS.
fsdrezib04
fsdrezib04
SERVER 1
SERVER 2
OLB WEB SERVERS
SERVER 4
SERVER 3
ONLINE ID AUTHENTICATION
TX EAS SERVER
SERVER 1
SERVER 2
SERVERS
SERVER 3
SERVER 4
LOGIN EVENTS SENT TO EVENTS ID
TX EAS SERVER
ORDINARY IMAGE & COOKIE
TAB 1
TAB 2
TAB 3
- ATTRIBUTE 1
- ATTRIBUTE 2
350

FIG. 11

FIG. 14b

TRIAGE ALLY - OPERATIONAL RELIABILITY INDEX QUESTIONNAIRE

| CATEGORY (622) | FCI PREDICTABILITY FACTORS (624) | ANSWER (626) | SUB CATEGORY WEIGHTING (628) | SOURCE (630) | FORMAT (632) | SCALE (634) | CATEGORY WEIGHTING (636) | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | E-COMM. | BCT | DCC | CARD | CRE | ATM |
| CHANGE MANAGEMENT 611 | | | | | | | 25% | 20% | 25% | 25% | 30% | 10% |
| | ARE THE PROCEDURES FOR INITIATING, APPROVING, VERIFYING AND SCHEDULING CHANGES ALWAYS ADHERED TO? | | 30% | APPLICATION MANAGER | YES/NO | | | | | | | |
| | IS THERE A CLEAR DISTINCTION BETWEEN A CHANGE REQUEST (e.g. UPGRADE APPLICATION, CHANGE ROUTER CONFIGURATION, UPDATE FIREWALL POLICIES, ETC) AND A SERVICE REQUEST (e.g. RESETTING A PASSWORD)? | | 15% | APPLICATION MANAGER | YES/NO | 1(LOWEST)-10 | | | | | | |
| | ARE THERE REGULAR REVIEW (ex. AT LEAST QUARTERLY) ON PERFORMANCE OF CHANGES IMPLEMENTED AGAINST DOCUMENTED KEY PERFORMANCE INDICATORS (KPI's) FOR THIS APPLICATION? | | 15% | APPLICATION MANAGER | YES/NO | | | | | | | |
| | ARE MULTIPLE RELATED CHANGES GROUPED AND THEN PROPERLY SCHEDULED AND COMMUNICATED TO MINIMIZE THE IMPACT TO THE BUSINESS USERS INCLUDING LAST MINUTE SCHEDULE CHANGES (FOR EXAMPLE, UNFORSEEN DELAYS DURING IMPLEMENTATION)? | | 40% | APPLICATION MANAGER | YES/NO | | | | | | | |
| AVAILABILITY MANAGEMENT 612 | | | | | | | 15% | 20% | 15% | 15% | 10% | 20% |
| | ARE THERE ANY SINGLE POINTS OF FAILURE (IF NOT KNOWN, PLEASE ANSWER YES)? | | 30% | APPLICATION MANAGER | YES/NO (NO =30%) | NO = 50% | | | | | | |
| | IF YES, CRITICALITY TO ENV OF SPOF? | | | APPLICATION | 1 - 5 | YES = 5 | | | | | | |
| | ARE AVAILABILITY IMPACT INFORMATION (INCLUDING THE DETAIL OF THE IMPACT OF PROPOSED CHANGES) COMMUNICATED TO THE CHANGE MANAGEMENT PROCESS AREA? | | 10% | APPLICATION MANAGER | | | | | | | | |
| | IS THERE A REGULAR (ex. AT LEAST EVERY 6-MONTHS) REVIEW OF CURRENT INFRASTRUCTURE AGAINST REQUIRED AVAILABILITY<br>1. WITH A VIEW TO IDENTIFY SPOF?<br>2. WITH A VIEW TO OPTIMIZING EQUIPMENT (LOWERING COST)? | | 15% | APPLICATION MANAGER | | | | | | | | |
| | DO YOU HAVE PROCEDURES FOR MONITORING, ANALYZING, AND FORECASTING SERVICE AVAILABILITY? | | 5% | APPLICATION MANAGER | | | | | | | | |
| | ARE THERE AUDIT PROCEDURES IN PLACE TO VALIDATE THE ONGOING ACCURACY AND APPROPRIATENESS OF THE MONITORING AND FORECASTING PROCEDURES? | | 15% | | | | | | | | | |
| | DO YOU HAVE DEFINED TARGETS FOR THE AVAILABILITY, RELIABILITY AND MAINTAINABILITY OF IT INFRASTRUCTURE COMPONENTS (INCLUDING 3RD PARTY VENDORS) RELIED UPON BY THE APPLICATION? | | 10% | APPLICATION MANAGER | | | | | | | | |
| | DO YOU CARRY OUT MONITORING AND TREND ANALYSIS OF THE AVAILABILITY, RELIABILITY AND MAINTAINABILITY OF IT INFRASTRUCTURE COMPONENTS (INCLUDING 3RD PARTY VENDORS) TO HELP IDENTIFY POTENTIAL FUTURE BOTTLENECKS? | | 15% | APPLICATION MANAGER | | | | | | | | |

FIG. 14c

TRIAGE ALLY - OPERATIONAL RELIABILITY INDEX QUESTIONNAIRE

| CATEGORY (622) | FCI PREDICTABILITY FACTORS (624) | ANSWER (626) | SUB CATEGORY WEIGHTING (628) | SOURCE (630) | FORMAT (632) | SCALE (634) | CATEGORY WEIGHTING (636) | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | E-COMM. | BCT | DCC | CARD | MHEIT | ATM |
| | | | | | | | 10% | 15% | 20% | 20% | 10% | 20% |
| SERVICE CONTINUITY MANAGEMENT 613 | BUSINESS CONTINUITY PLAN IN STANDARD FORMAT? | | 30% | AIT | YES/NO | NO=0% | | | | | | |
| | DATE OF LAST TEST | | 1-2+YEARS | AIT | >1 YR 0% | <1 YR 30% | | | | | | |
| | HAVE ALL OUTSTANDING ISSUES IDENTIFIED AS A RESULT OF TESTING BEEN RESOLVED OR IS AN APPROVED BUSINESS CONTINUITY REMEDIATION PLAN IN PLACE? | | 15% | AIT | YES/NO | | | | | | | |
| | IS THERE A DOCUMENTED AND KNOWN RECOVERY PLAN IN PLACE FOR EACH SERVICE AREA, IN THE EVENT OF AN UNFORESEEN ISSUE? | | 5% | AIT | | | | | | | | |
| | ARE THERE REGULAR BACKUPS OF CRITICAL DATA TAKEN AND STORED SECURELY? | | 30% | | | | | | | | | |
| | ARE CRITICAL BACKUPS OF INFORMATION TESTED ON A REGULAR BASIS? | | 10% | | | | | | | | | |
| | IS TESTING PERFORMED FOR QUALITY ATTRIBUTES SUCH AS RELIABILITY, USABILITY, AND MAINTAINABILITY? | | 10% | | | | | | | | | |
| KNOWLEDGE TRANSFER MANAGEMENT 614 | | | | | | | 5% | 5% | 5% | 5% | 5% | 5% |
| | HAS HANDOVER/TAKEOVER MEETING CONDUCTED WITH INITIAL TEAM? | | 10% | APPLICATION MANAGER | YES/NO | YES=10% NO=0% | | | | | | |
| | HAS NECESSARY DOCUMENTATION BEEN COMPLETED | | 30% | APPLICATION MANAGER | YES/NO | YES=30% NO=0% | | | | | | |
| | RATE THE QUALITY OF ONBOARDING NEW RESOURCES (BANK AND STRATEGIC PARTNER) | | 20% | APPLICATION MANAGER | 1-5 WITH 5 BEING BEST QUALITY | 5=20% 4=15% 3=10% 2=5% 1=0% | | | | | | |
| | RATE THE QUALITY OF TRAINING DOCUMENTATION AND SCHEDULES | | 20% | APPLICATION MANAGER | 1-5 WITH 5 BEING BEST QUALITY | 5=20% 4=15% 3=10% 2=5% 1=0% | | | | | | |
| | ARE WORKAROUNDS DOCUMENTED/NEW CHANGES TESTED WITH WORKAROUNDS IN PLACE? | | 20% | APPLICATION MANAGER | | | | | | | | |

FIG. 14d

TRIAGE ALLY- OPERATIONAL RELIABILITY INDEX QUESTIONNAIRE

| 622 CATEGORY | 624 FCI PREDICTABILITY FACTORS | 626 ANSWER | 628 SUB CATEGORY WEIGHTING | 630 SOURCE | 632 FORMAT | 634 SCALE | 636 CATEGORY WEIGHTING | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | E-COMM | BCT | DCC | CARD | MHEIT | ATM |
| | | | | | | | 15% | 15% | 15% | 15% | 15% | 15% |
| INFRASTRUCTURE AND RISK MANAGEMENT 615 | DOES APPLICATION USE ANY NON-PERMITTED TECHNOLOGIES? (CONSIDER SOFTWARE LEVEL: NON-PERMITED SCORE BY NCG (CAN BE MORE THAN 1 PER APPLICATION) | | 50% | RTT | YES/NO | NO=50% | | | | | | |
| | IF YES, HOW MANY INSTANCES OF NP TECHNOLOGY EXISTS? | | | RTT | | | | | | | | |
| | DOES APPLICATION HAVE REMEDIATION PLAN FOR ANY NON-PERMITTED TECHNOLOGIES? | | | RTT | | YES=(1 INSTANCE= 30% >1=10%); NO=0% | | | | | | |
| | DOES APPLICATION HAVE A CONTROL PLAN? | | 30% | AIT | YES/NO | NO=0% | | | | | | |
| | WAS CONTROL PLAN UPDATED WITHIN PAST CALENDAR YEAR? | | | AIT | >1 YR, 0% | <1 YR, 30% | | | | | | |
| | DOES THE BUSINESS IMPACT ANALYSIS EXIST? | | 20% | AIT | YES/NO | NO=0% | | | | | | |
| CAPACITY MANAGEMENT 616 | | | | | | | 5% | 5% | 5% | 5% | 5% | 5% |
| | ON AVERAGE HOW CLOSE ARE CURRENT PROCESSING VOLUMES TO THE VOLUME CEILING OF THE APPLICATION? | | 40% | AIT | <40%, 40-80%, >80% | <40%= 40%, 40-80%= 15%, >80%= 0% | | | | | | |
| | ARE THERE ANY KNOWN INITIATIVES THAT WILL INCREASE RATE OF GROWTH? (INITIATIVE, SALES CAMPAIGNS, ETC.) | | 5% | APPLICATION MANAGER | YES/NO | YES/NO | | | | | | |
| | ARE THRESHOLD ALARMS IN-PLACE FOR INDIVIDUAL SERVICES THAT ALERT STAFF ABOUT APPROACHING MAXIMUM CAPACITY LIMITS? | | 10% | APPLICATION MANAGER | | | | | | | | |
| | ARE KEY COMPONENTS (RESOURCES) MONITORED FOR CAPACITY LOAD (e.g., HARD DISK, MEMORY, CPU, etc.) | | 10% | APPLICATION MANAGER | | | | | | | | |
| | IS CAPACITY DATA CONSTANTLY ANALYZED TO HELP IN RESOLUTION OF INCIDENTS AND PROBLEMS? | | 5% | APPLICATION MANAGER | | | | | | | | |
| | ARE CHANGES TO THE CAPACITY OF THE APPLICATION HANDLED THROUGH A FORMAL CHANGE MANAGEMENT PROCESS? | | 30% | APPLICATION MANAGER | | | | | | | | |

FIG. 14e

TREAGE ALLY - OPERATIONAL RELIABILITY INDEX QUESTIONNAIRE

| CATEGORY (622) | FCI PREDICTABILITY FACTORS (624) | ANSWER (626) | SUB CATEGORY WEIGHTING (628) | SOURCE (630) | FORMAT (632) | SCALE (634) | CATEGORY WEIGHTING (636) E-COMM. | BCT | DCC | CARD | MHEIT | ATM |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | 10% | 10% | 5% | 5% | 10% | 10% |
| SERVICE LEVEL MANAGEMENT 612 | DO SERVICE LEVEL AGREEMENTS EXIST BETWEEN LOB AND GTS&F? | | 20% | ATT | YES/NO | YES= 20%;NO= 0% | | | | | | |
| | IS RISK RATING ASSIGNED BY LOB? | | 20% | ATT | YES/NO | YES= 20%;NO= 0% | | | | | | |
| | DOES THE CURRENT APPLICATION DESIGN SUPPORT THE LOB RISK RATING/SLA? | | 20% | APPLICATION MANAGER | YES/NO | YES= 20%;NO= 0% | | | | | | |
| | ARE AGREEMENTS WITH VENDORS DOCUMENTED AND REFLECTED IN THE SLA'S? | | 20% | APPLICATION MANAGER | | | | | | | | |
| | DOES THE SLA STRUCTURE INCLUDE FEATURES SUCH AS RELIABILITY, SECURITY, SERVICE HOURS, SUPPORT, RESPONSE TIMES, TURNAROUND TIMES, PERFORMANCE CRITERIA? | | 10% | APPLICATION MANAGER | | | | | | | | |
| | ARE THERE MECHANISMS IN PLACE TO MONITOR AND MEASURE ALL ITEMS IN EXISTING SLAS? | | 5% | APPLICATION MANAGER | | | | | | | | |
| | DO SLAS HAVE CLEARLY IDENTIFIED KEY TARGETS FOR SERVICE HOURS, AVAILABILITY, RELIABILITY, SUPPORT, RESPONSE TIMES AND CHANGE HANDLING? | | 5% | APPLICATION MANAGER | | | | | | | | |
| SYSTEMS MANAGEMENT 618 | | | | | | | 15% | 10% | 10% | 10% | 15% | 15% |
| | ARE TOOLS AND PROCESSES IN PLACE TO AUTOMATE OR QUICKLY REACT TO CUSTOMER/ AGENT IMPACTING EVENTS TO PROVIDE OPERATIONAL RELIEF? | | 35% | APPLICATION MANAGER | | | | | | | | |
| | ARE COMPONENT BASED TECHNOLOGY MONITORING TOOLS AVAILABLE? EXAMPLE: INTROSCOPE, PERFMON, NETSCOUT, SITESCOPE, MQUEUE-COMMAND CENTER, etc. | | 15% | APPLICATION MANAGER | | | | | | | | |
| | IS THE OPERATING SYSTEM (ON WHICH THE APPLICATION COMPONENTS ARE INSTALLED) MONITORED ON SERVER AND CLIENT MACHINES (CPU LOAD, MEMORY USAGE, DIRECTORY SPACE) | | 10% | APPLICATION MANAGER | | | | | | | | |
| | IS THE OPERATING SYSTEM (ON WHICH THE APPLICATION COMPONENTS ARE INSTALLED) MONITORED ON SERVER AND CLIENT MACHINES (PAGING, FILE I/O, NETWORK I/O, LOCAL DISK I/O, REMOTE DISK I/O) | | 5% | APPLICATION MANAGER | | | | | | | | |
| | ARE APPLICATION PERFORMANCE TRENDS MONITORED AND PROJECTED FORWARD TO INDICATE WHEN THRESHOLDS WILL BREAK AND PROJECTED BREAKS THAT ARE ALERTED WITH SUFFICIENT TIME TO ALTER THE APPLICATION/SYSTEM TO AVOID SERVICE BREAKS FROM HAPPENING? | | 15% | APPLICATION MANAGER | | | | | | | | |
| | ARE COMPONENT/APPLICATION INTERFACES MONITORED (ALL COMPONENT BOUNDARIES , FRAMEWORK INTERFACES) | | 5% | APPLICATION MANAGER | | | | | | | | |
| | ARE CUSTOMER EXPERIENCE MONITORING TOOLS AVAILABLE? EXAMPLE: TOPAZ, ONLINE BANKING MONITOR, COMPUWARE VANTAGE AGENTLESS MONITORING (MEASURE TRANSACTION RESPONSE TIME, TRANSACTION VOLUME) | | 15% | APPLICATION MANAGER | | | | | | | | |
| | | | | | | | 100% | 100% | 100% | 100% | 100% | 100% |

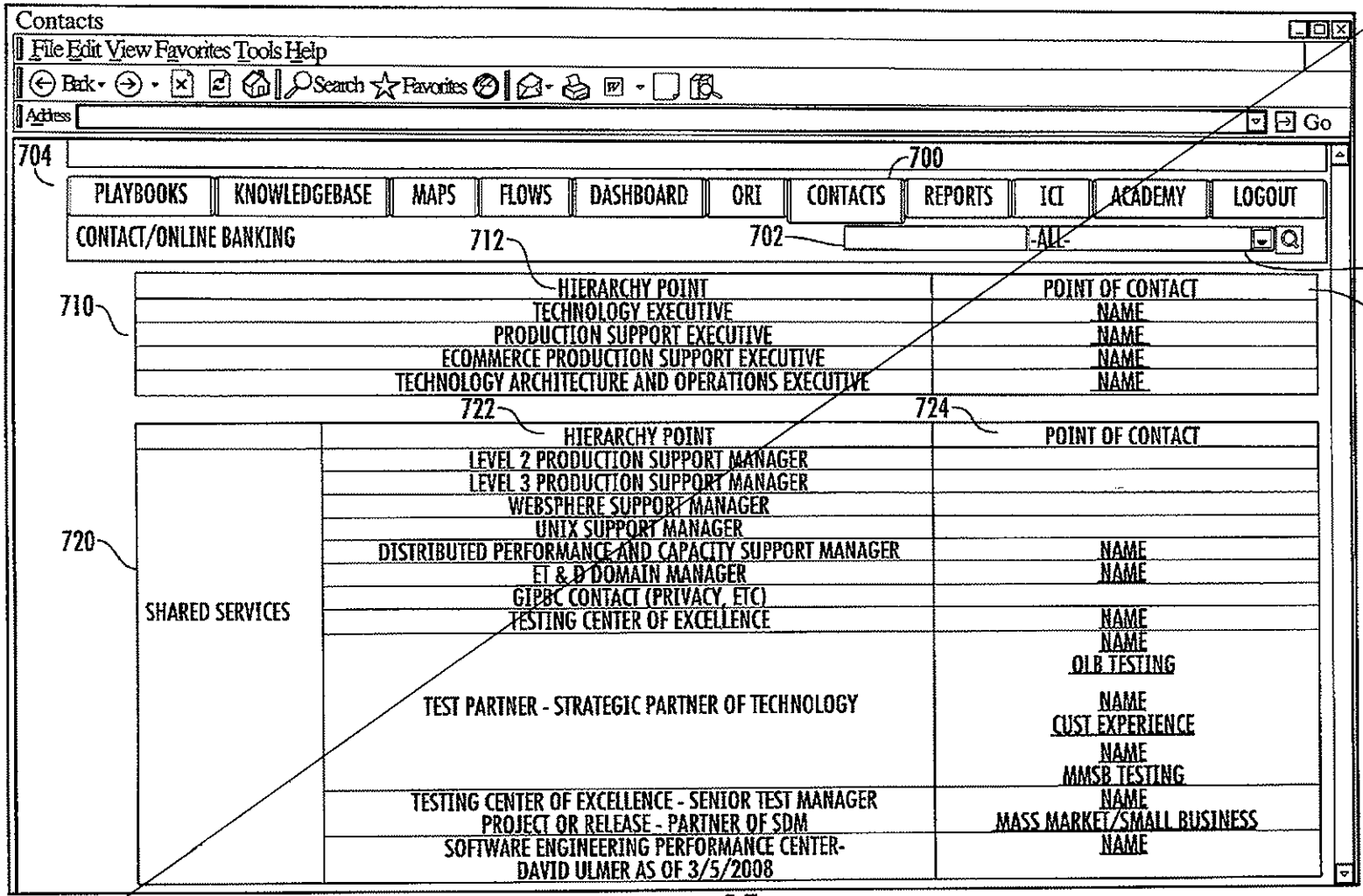

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LOGOUT
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712
702
-ALL-
703
710
HIERARCHY POINT
POINT OF CONTACT
714
TECHNOLOGY EXECUTIVE
NAME
PRODUCTION SUPPORT EXECUTIVE
NAME
ECOMMERCE PRODUCTION SUPPORT EXECUTIVE
NAME
TECHNOLOGY ARCHITECTURE AND OPERATIONS EXECUTIVE
NAME
722
724
720
HIERARCHY POINT
POINT OF CONTACT
SHARED SERVICES
LEVEL 2 PRODUCTION SUPPORT MANAGER
LEVEL 3 PRODUCTION SUPPORT MANAGER
WEBSPHERE SUPPORT MANAGER
UNIX SUPPORT MANAGER
DISTRIBUTED PERFORMANCE AND CAPACITY SUPPORT MANAGER
NAME
ET & D DOMAIN MANAGER
NAME
GIPBC CONTACT (PRIVACY, ETC)
TESTING CENTER OF EXCELLENCE
NAME
TEST PARTNER - STRATEGIC PARTNER OF TECHNOLOGY
NAME
OLB TESTING
NAME
CUST EXPERIENCE
NAME
MMSB TESTING
TESTING CENTER OF EXCELLENCE - SENIOR TEST MANAGER
PROJECT OR RELEASE - PARTNER OF SDM
NAME
MASS MARKET/SMALL BUSINESS
SOFTWARE ENGINEERING PERFORMANCE CENTER-
DAVID ULMER AS OF 3/5/2008
NAME

FIG. 15

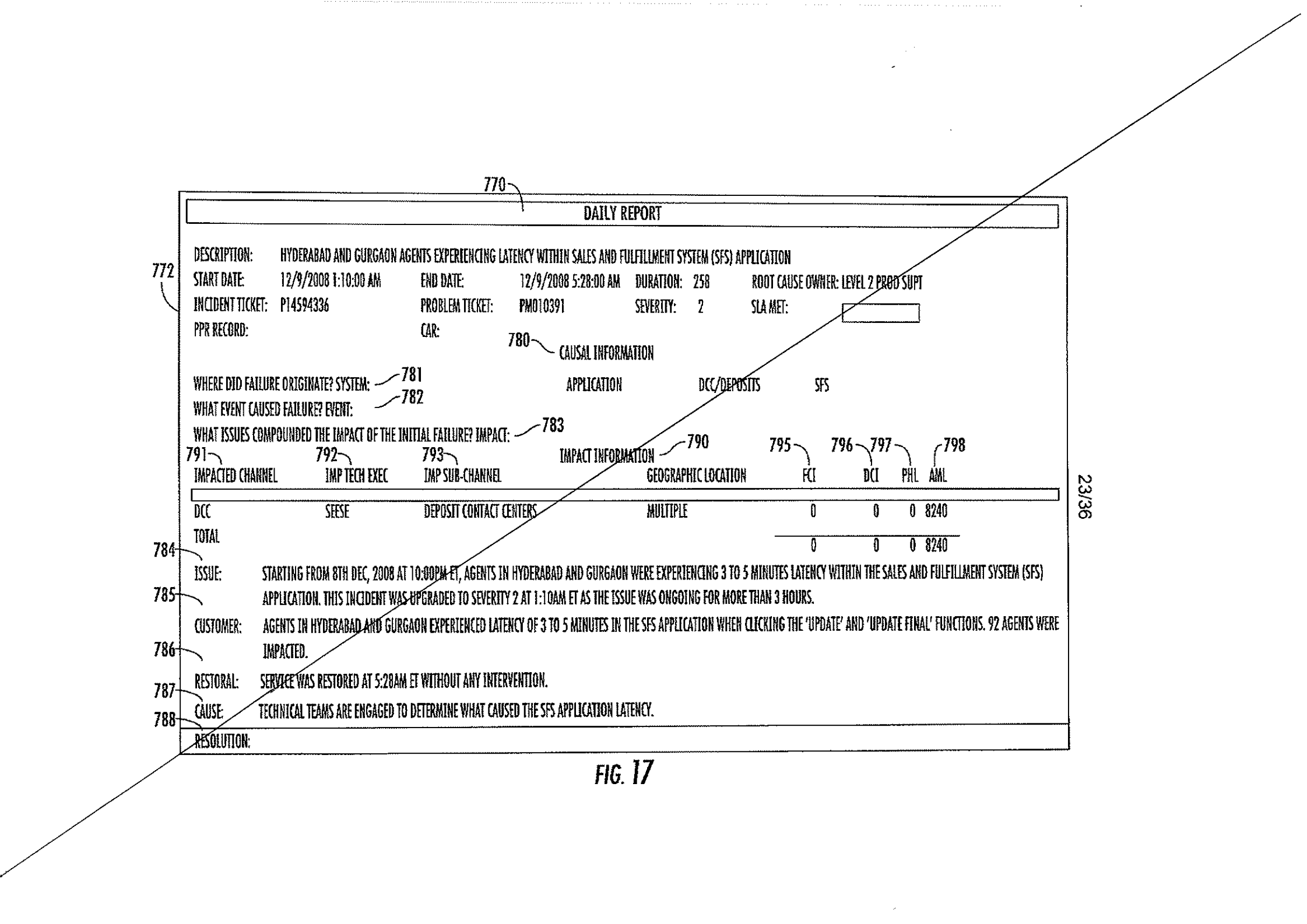

770
DAILY REPORT
772
DESCRIPTION: HYDERABAD AND GURGAON AGENTS EXPERIENCING LATENCY WITHIN SALES AND FULFILLMENT SYSTEM (SFS) APPLICATION
START DATE: 12/9/2008 1:10:00 AM
END DATE: 12/9/2008 5:28:00 AM
DURATION: 258
ROOT CAUSE OWNER: LEVEL 2 PROD SUPT
INCIDENT TICKET: P14594336
PROBLEM TICKET: PM010391
SEVERITY: 2
SLA MET:
PPR RECORD:
CAR:
780
CAUSAL INFORMATION
WHERE DID FAILURE ORIGINATE? SYSTEM:
781
APPLICATION
DCC/DEPOSITS
SFS
WHAT EVENT CAUSED FAILURE? EVENT:
782
WHAT ISSUES COMPOUNDED THE IMPACT OF THE INITIAL FAILURE? IMPACT:
783
IMPACT INFORMATION
790
791 IMPACTED CHANNEL
792 IMP TECH EXEC
793 IMP SUB-CHANNEL
GEOGRAPHIC LOCATION
795 FCI
796 DCI
797 PHL
798 AML
DCC SEESE DEPOSIT CONTACT CENTERS MULTIPLE 0 0 0 8240
TOTAL 0 0 0 8240
784
ISSUE: STARTING FROM 8TH DEC, 2008 AT 10:00PM ET, AGENTS IN HYDERABAD AND GURGAON WERE EXPERIENCING 3 TO 5 MINUTES LATENCY WITHIN THE SALES AND FULFILLMENT SYSTEM (SFS) APPLICATION. THIS INCIDENT WAS UPGRADED TO SEVERITY 2 AT 1:10AM ET AS THE ISSUE WAS ONGOING FOR MORE THAN 3 HOURS.
785
CUSTOMER: AGENTS IN HYDERABAD AND GURGAON EXPERIENCED LATENCY OF 3 TO 5 MINUTES IN THE SFS APPLICATION WHEN CLICKING THE 'UPDATE' AND 'UPDATE FINAL' FUNCTIONS. 92 AGENTS WERE IMPACTED.
786
RESTORAL: SERVICE WAS RESTORED AT 5:28AM ET WITHOUT ANY INTERVENTION.
787
CAUSE: TECHNICAL TEAMS ARE ENGAGED TO DETERMINE WHAT CAUSED THE SFS APPLICATION LATENCY.
788
RESOLUTION:

FIG. 17

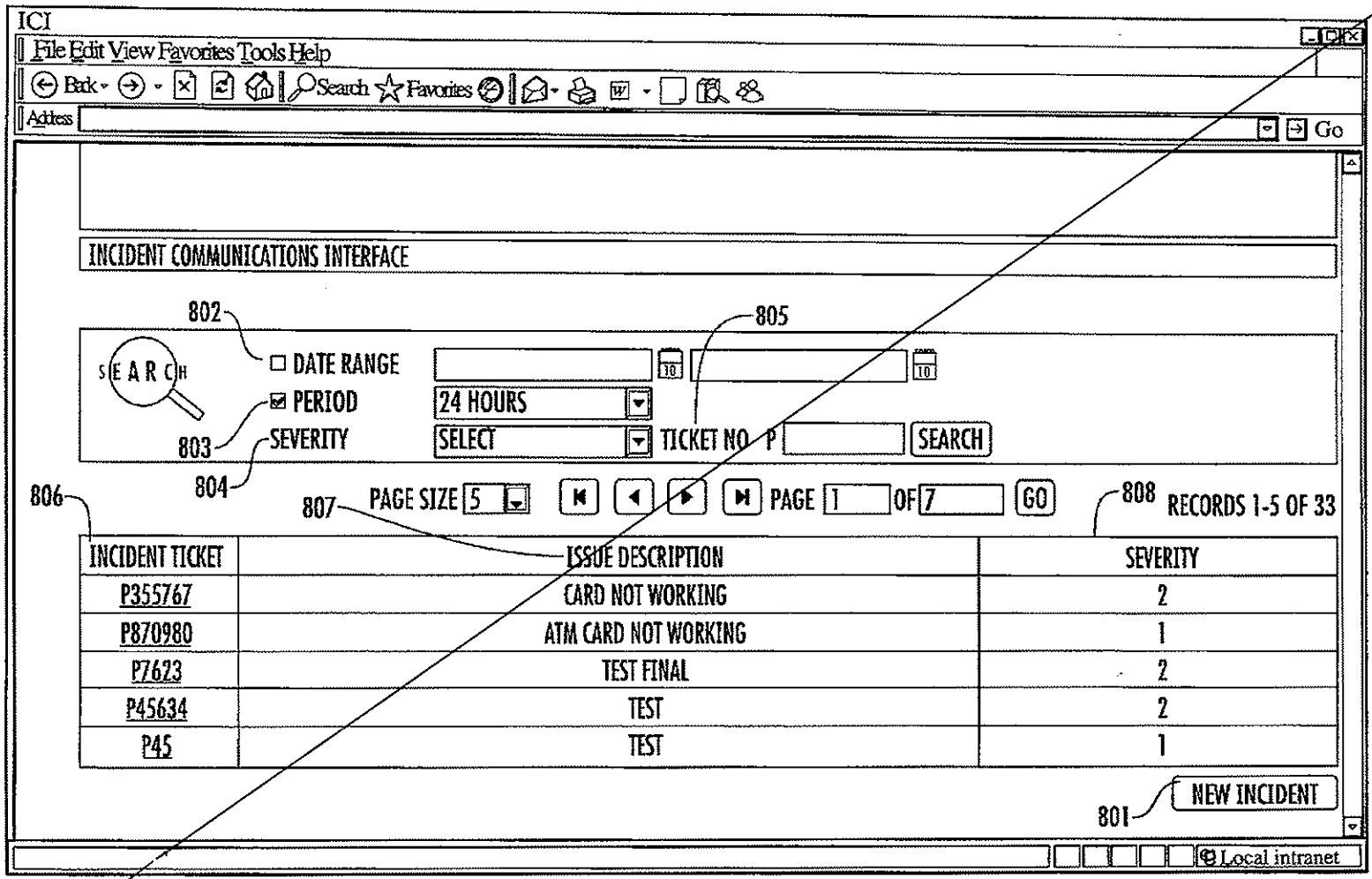

ICI
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Address
Go
INCIDENT COMMUNICATIONS INTERFACE
802
805
SEARCH
DATE RANGE
PERIOD
24 HOURS
803
SEVERITY
SELECT
804
TICKET NO P
SEARCH
806
807
PAGE SIZE 5
PAGE 1 OF 7
GO
808
RECORDS 1-5 OF 33
INCIDENT TICKET
ISSUE DESCRIPTION
SEVERITY
P355767
CARD NOT WORKING
2
P870980
ATM CARD NOT WORKING
1
P7623
TEST FINAL
2
P45634
TEST
2
P45
TEST
1
801
NEW INCIDENT
Local intranet

FIG. 19

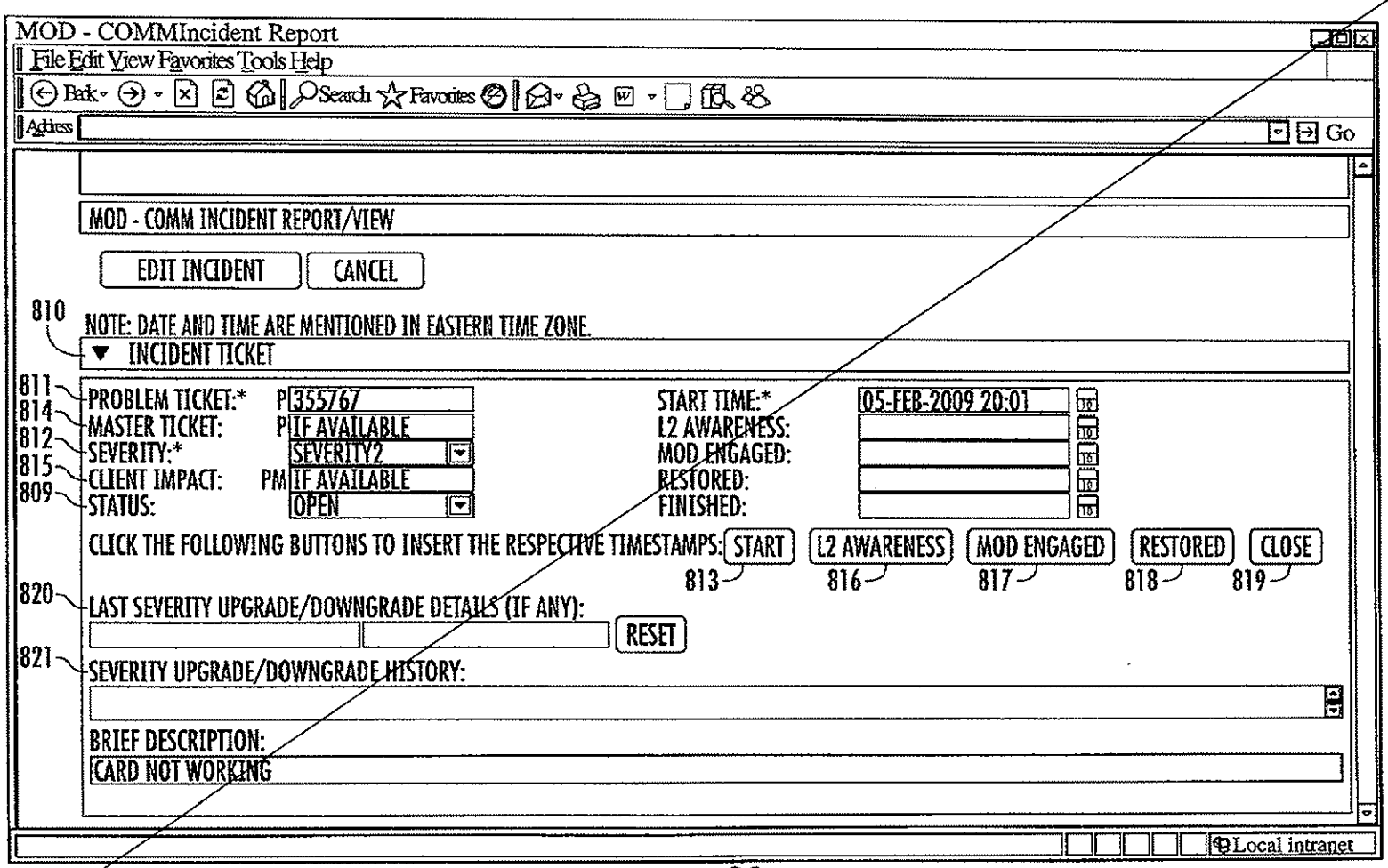

MOD - COMMIncident Report
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Favorites
Address
Go
MOD - COMM INCIDENT REPORT/VIEW
EDIT INCIDENT
CANCEL
810
NOTE: DATE AND TIME ARE MENTIONED IN EASTERN TIME ZONE.
INCIDENT TICKET
811
PROBLEM TICKET:*
P 355767
814
MASTER TICKET:
P IF AVAILABLE
812
SEVERITY:*
SEVERITY2
815
CLIENT IMPACT:
PM IF AVAILABLE
809
STATUS:
OPEN
START TIME:*
05-FEB-2009 20:01
L2 AWARENESS:
MOD ENGAGED:
RESTORED:
FINISHED:
CLICK THE FOLLOWING BUTTONS TO INSERT THE RESPECTIVE TIMESTAMPS:
START
L2 AWARENESS
MOD ENGAGED
RESTORED
CLOSE
813
816
817
818
819
820
LAST SEVERITY UPGRADE/DOWNGRADE DETAILS (IF ANY):
RESET
821
SEVERITY UPGRADE/DOWNGRADE HISTORY:
BRIEF DESCRIPTION:
CARD NOT WORKING
Local intranet

FIG. 20

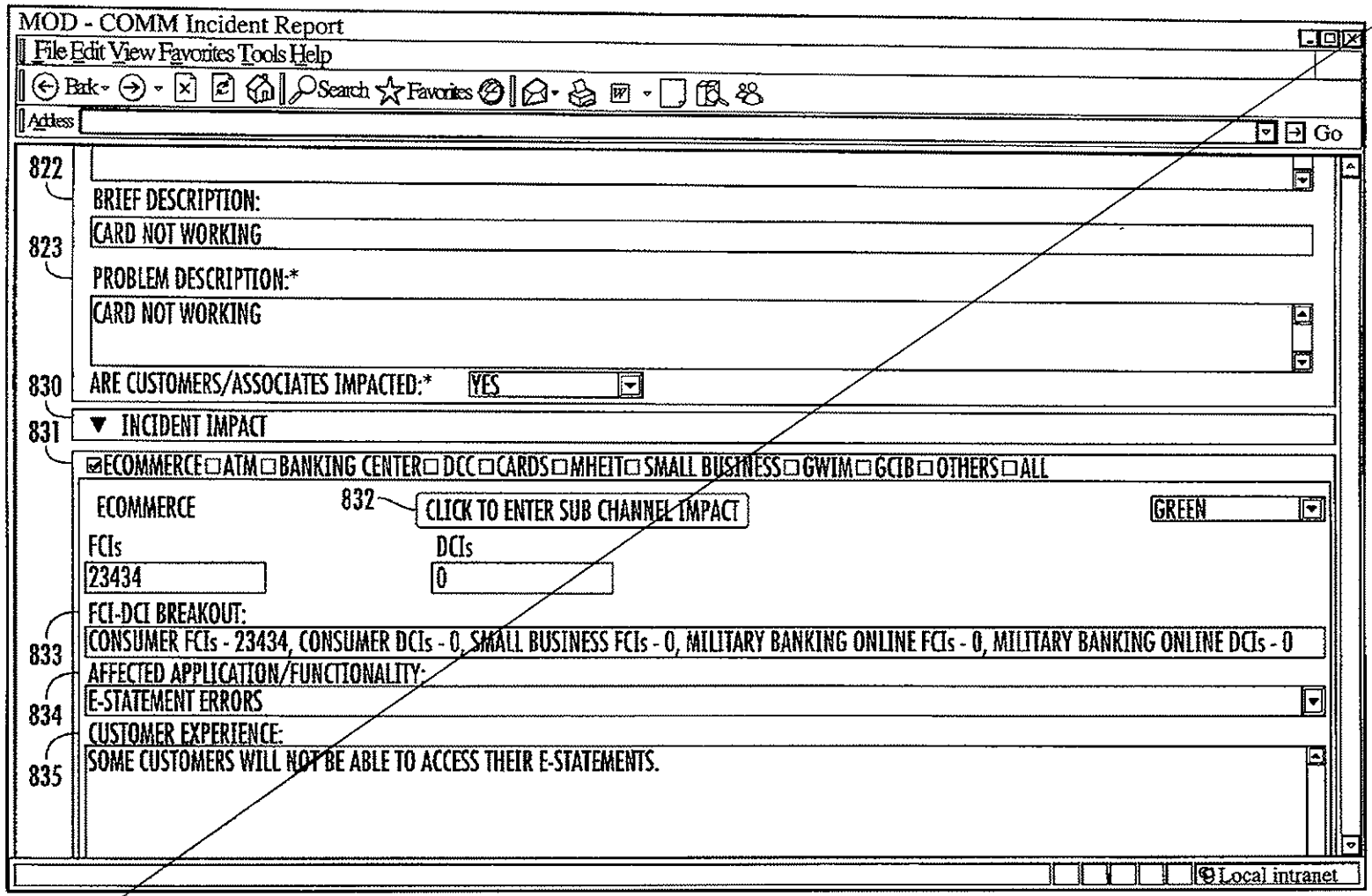

MOD - COMM Incident Report
File Edit View Favorites Tools Help
Back Search Favorites
Address
Go
822
BRIEF DESCRIPTION:
823
CARD NOT WORKING
PROBLEM DESCRIPTION:*
CARD NOT WORKING
830
ARE CUSTOMERS/ASSOCIATES IMPACTED:*
YES
831
INCIDENT IMPACT
ECOMMERCE ATM BANKING CENTER DCC CARDS MHEIT SMALL BUSINESS GWIM GCIB OTHERS ALL
ECOMMERCE
832
CLICK TO ENTER SUB CHANNEL IMPACT
GREEN
FCIs
23434
DCIs
0
FCI-DCI BREAKOUT:
833
CONSUMER FCIs - 23434, CONSUMER DCIs - 0, SMALL BUSINESS FCIs - 0, MILITARY BANKING ONLINE FCIs - 0, MILITARY BANKING ONLINE DCIs - 0
AFFECTED APPLICATION/FUNCTIONALITY:
834
E-STATEMENT ERRORS
CUSTOMER EXPERIENCE:
835
SOME CUSTOMERS WILL NOT BE ABLE TO ACCESS THEIR E-STATEMENTS.
Local intranet

FIG. 21

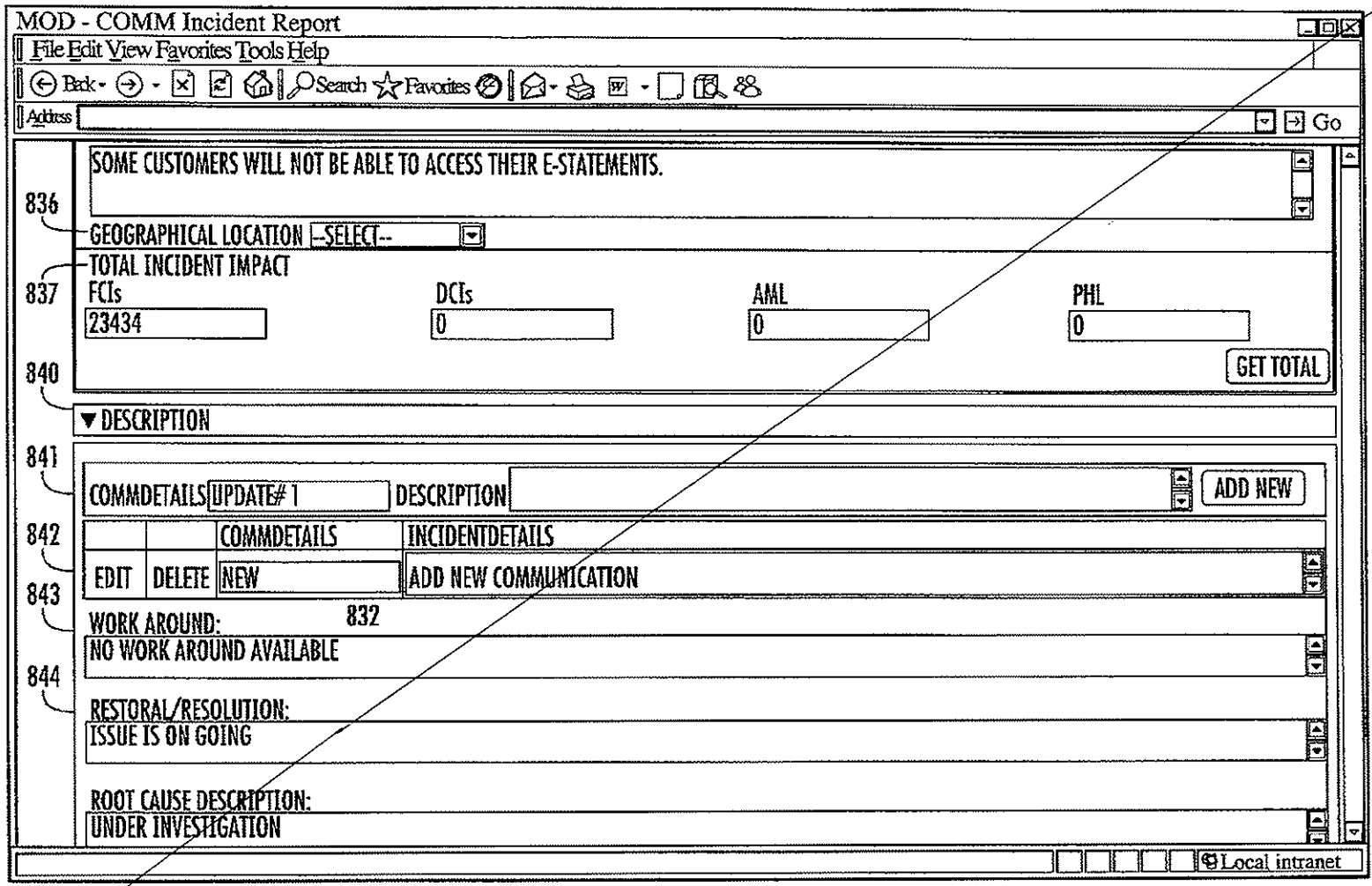

MOD - COMM Incident Report
File Edit View Favorites Tools Help
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Search
Favorites
Address
Go
SOME CUSTOMERS WILL NOT BE ABLE TO ACCESS THEIR E-STATEMENTS.
836
GEOGRAPHICAL LOCATION --SELECT--
837
TOTAL INCIDENT IMPACT
FCIs
23434
DCIs
0
AML
0
PHL
0
GET TOTAL
840
▼DESCRIPTION
841
COMMDETAILS UPDATE# 1
DESCRIPTION
ADD NEW
842
COMMDETAILS
INCIDENTDETAILS
EDIT
DELETE
NEW
ADD NEW COMMUNICATION
843
WORK AROUND:
832
NO WORK AROUND AVAILABLE
844
RESTORAL/RESOLUTION:
ISSUE IS ON GOING
ROOT CAUSE DESCRIPTION:
UNDER INVESTIGATION
Local intranet

FIG. 22

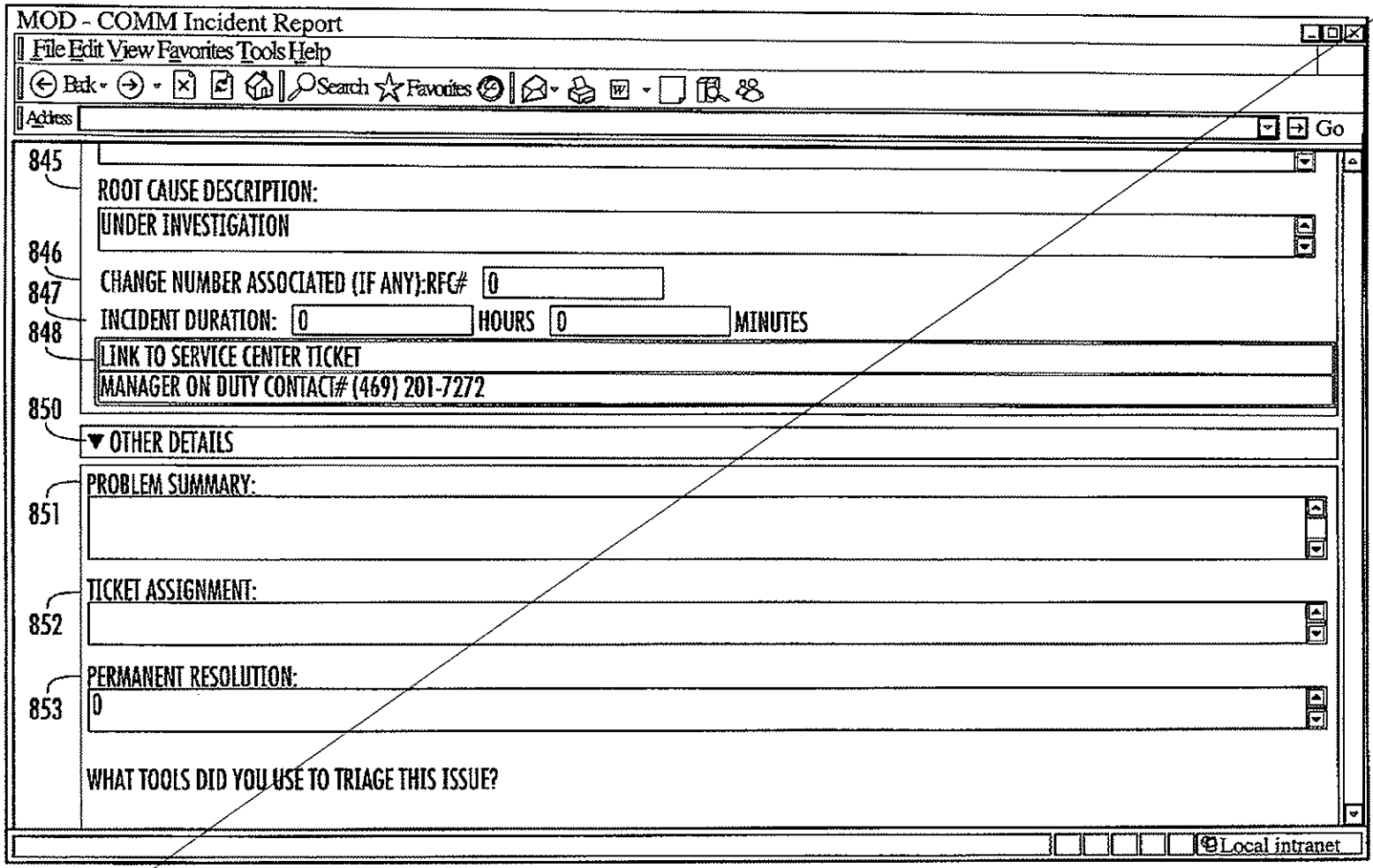

MOD - COMM Incident Report
File Edit View Favorites Tools Help
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Search
Favorites
Address
Go
845
ROOT CAUSE DESCRIPTION:
UNDER INVESTIGATION
846
CHANGE NUMBER ASSOCIATED (IF ANY):RFC#
0
847
INCIDENT DURATION:
0
HOURS
0
MINUTES
848
LINK TO SERVICE CENTER TICKET
MANAGER ON DUTY CONTACT# (469) 201-7272
850
OTHER DETAILS
851
PROBLEM SUMMARY:
852
TICKET ASSIGNMENT:
853
PERMANENT RESOLUTION:
0
WHAT TOOLS DID YOU USE TO TRIAGE THIS ISSUE?
Local intranet

FIG. 23

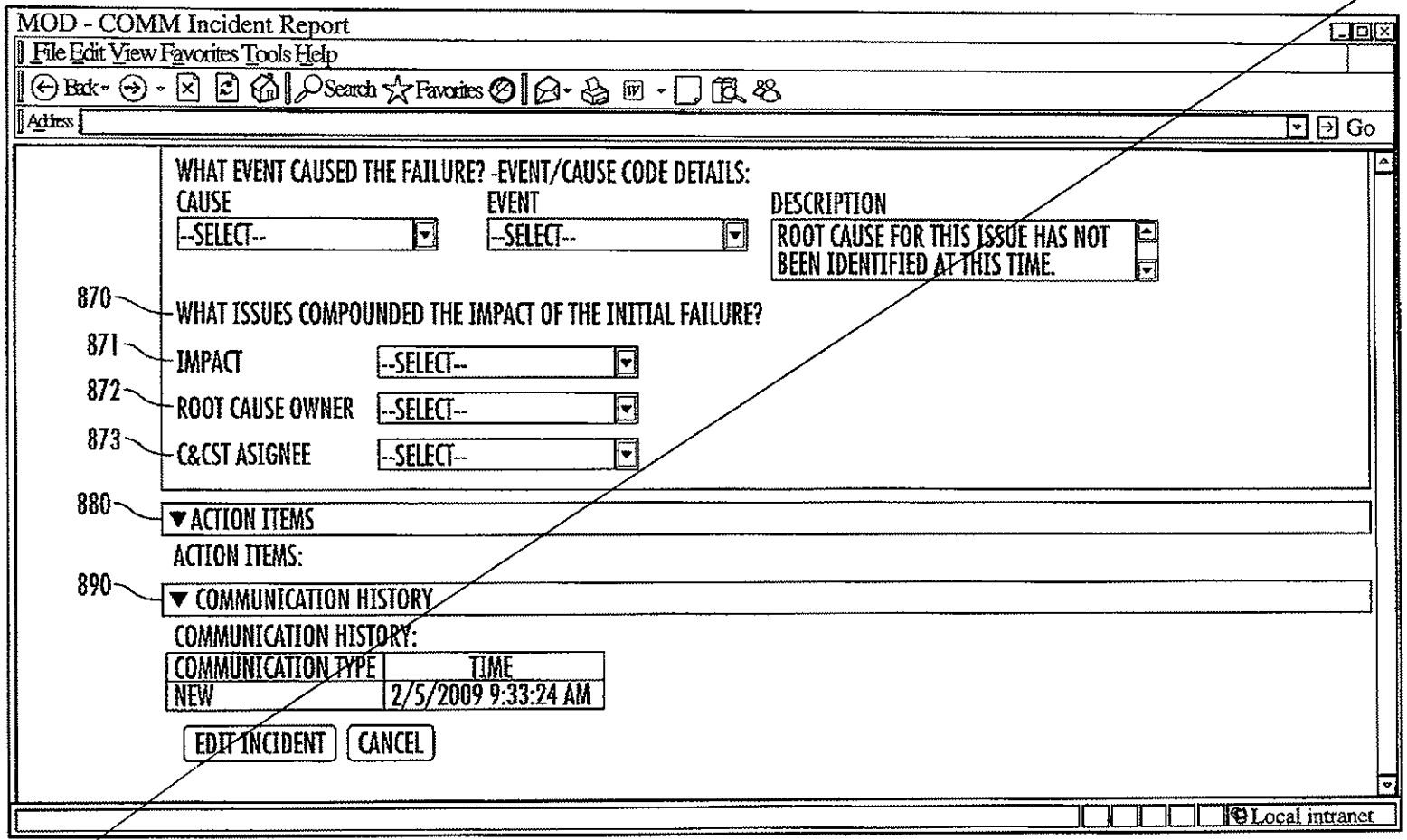

MOD - COMM Incident Report
File Edit View Favorites Tools Help
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Search
Favorites
Address
Go
WHAT EVENT CAUSED THE FAILURE? -EVENT/CAUSE CODE DETAILS:
CAUSE
--SELECT--
EVENT
--SELECT--
DESCRIPTION
ROOT CAUSE FOR THIS ISSUE HAS NOT BEEN IDENTIFIED AT THIS TIME.
870
WHAT ISSUES COMPOUNDED THE IMPACT OF THE INITIAL FAILURE?
871
IMPACT
--SELECT--
872
ROOT CAUSE OWNER
--SELECT--
873
C&CST ASIGNEE
--SELECT--
880
▼ACTION ITEMS
ACTION ITEMS:
890
▼ COMMUNICATION HISTORY
COMMUNICATION HISTORY:
COMMUNICATION TYPE
TIME
NEW
2/5/2009 9:33:24 AM
EDIT INCIDENT
CANCEL
Local intranet

FIG. 25

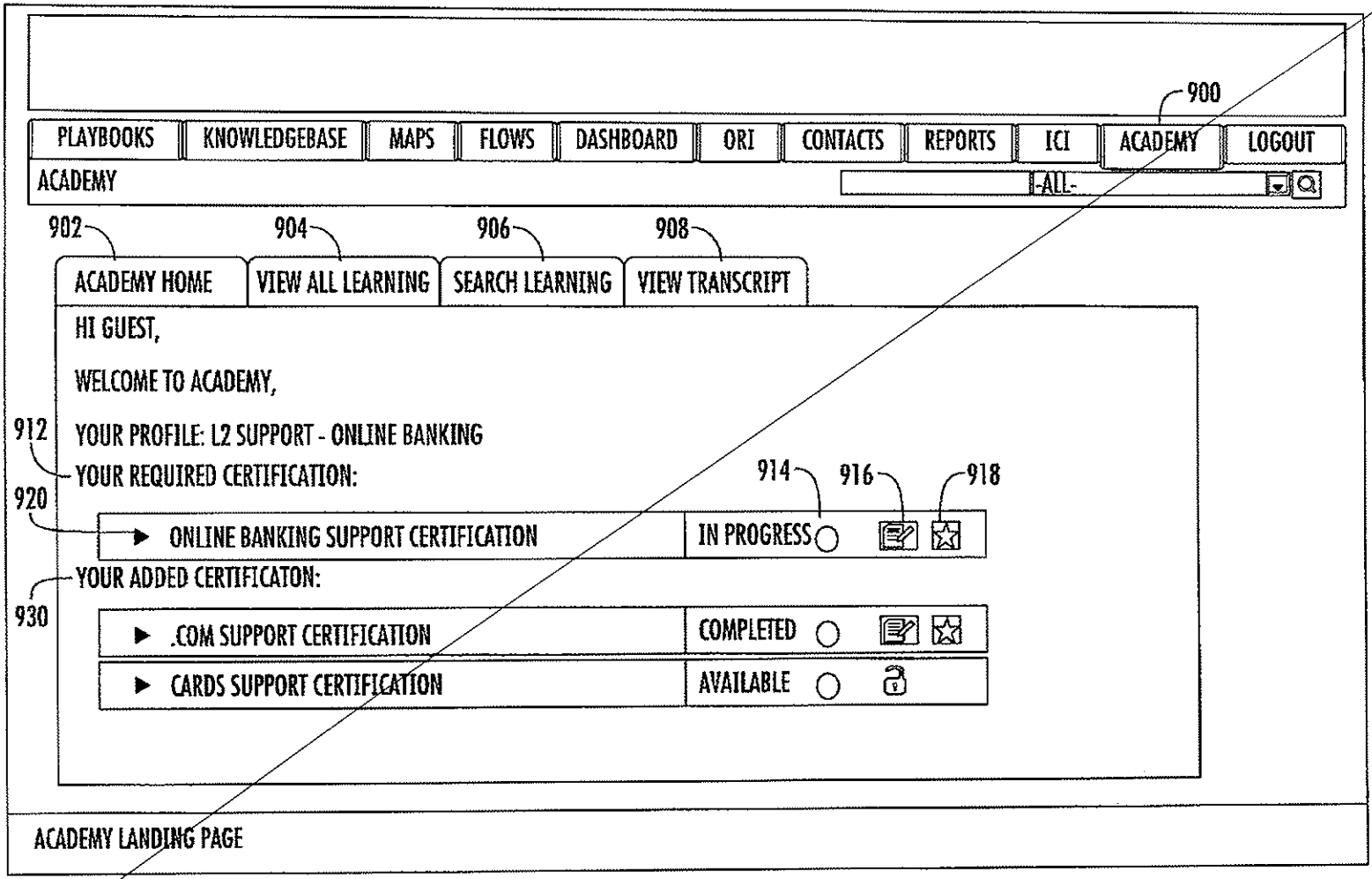
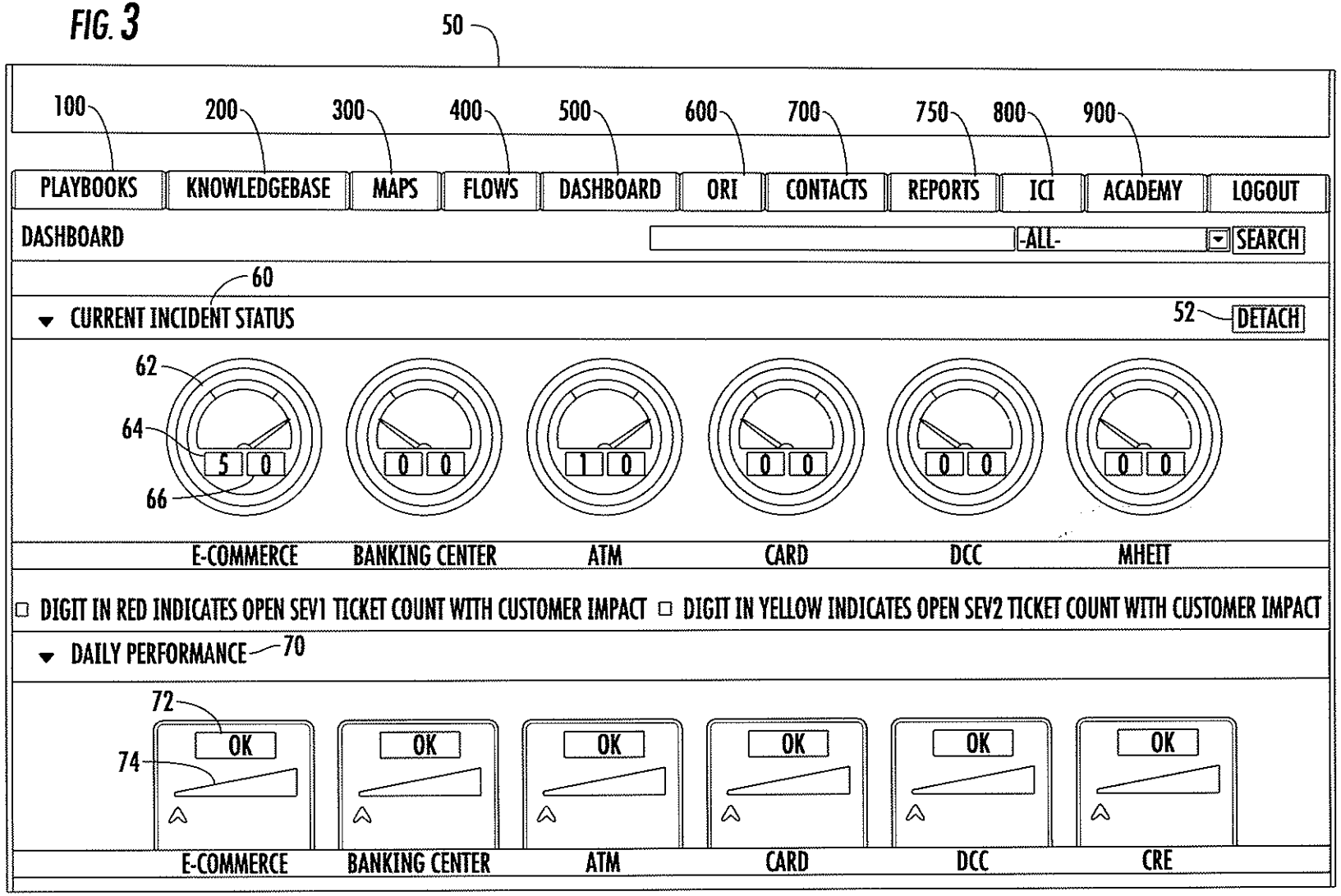

900
PLAYBOOKS
KNOWLEDGEBASE
MAPS
FLOWS
DASHBOARD
ORI
CONTACTS
REPORTS
ICI
ACADEMY
LOGOUT
ACADEMY
-ALL-
902
904
906
908
ACADEMY HOME
VIEW ALL LEARNING
SEARCH LEARNING
VIEW TRANSCRIPT
HI GUEST,
WELCOME TO ACADEMY,
912
YOUR PROFILE: L2 SUPPORT - ONLINE BANKING
YOUR REQUIRED CERTIFICATION:
914
916
918
920
ONLINE BANKING SUPPORT CERTIFICATION
IN PROGRESS
930
YOUR ADDED CERTIFICATON:
.COM SUPPORT CERTIFICATION
COMPLETED
CARDS SUPPORT CERTIFICATION
AVAILABLE
ACADEMY LANDING PAGE

FIG. 27

FIG. 3


50
100
200
300
400
500
600
700
750
800
900
PLAYBOOKS
KNOWLEDGEBASE
MAPS
FLOWS
DASHBOARD
ORI
CONTACTS
REPORTS
ICI
ACADEMY
LOGOUT
DASHBOARD
-ALL-
SEARCH
60
CURRENT INCIDENT STATUS
52
DETACH
62
64
66
5 0
0 0
1 0
0 0
0 0
0 0
E-COMMERCE
BANKING CENTER
ATM
CARD
DCC
MHEIT
DIGIT IN RED INDICATES OPEN SEV1 TICKET COUNT WITH CUSTOMER IMPACT
DIGIT IN YELLOW INDICATES OPEN SEV2 TICKET COUNT WITH CUSTOMER IMPACT
DAILY PERFORMANCE
70
72
74
OK
E-COMMERCE
BANKING CENTER
ATM
CARD
DCC
CRE

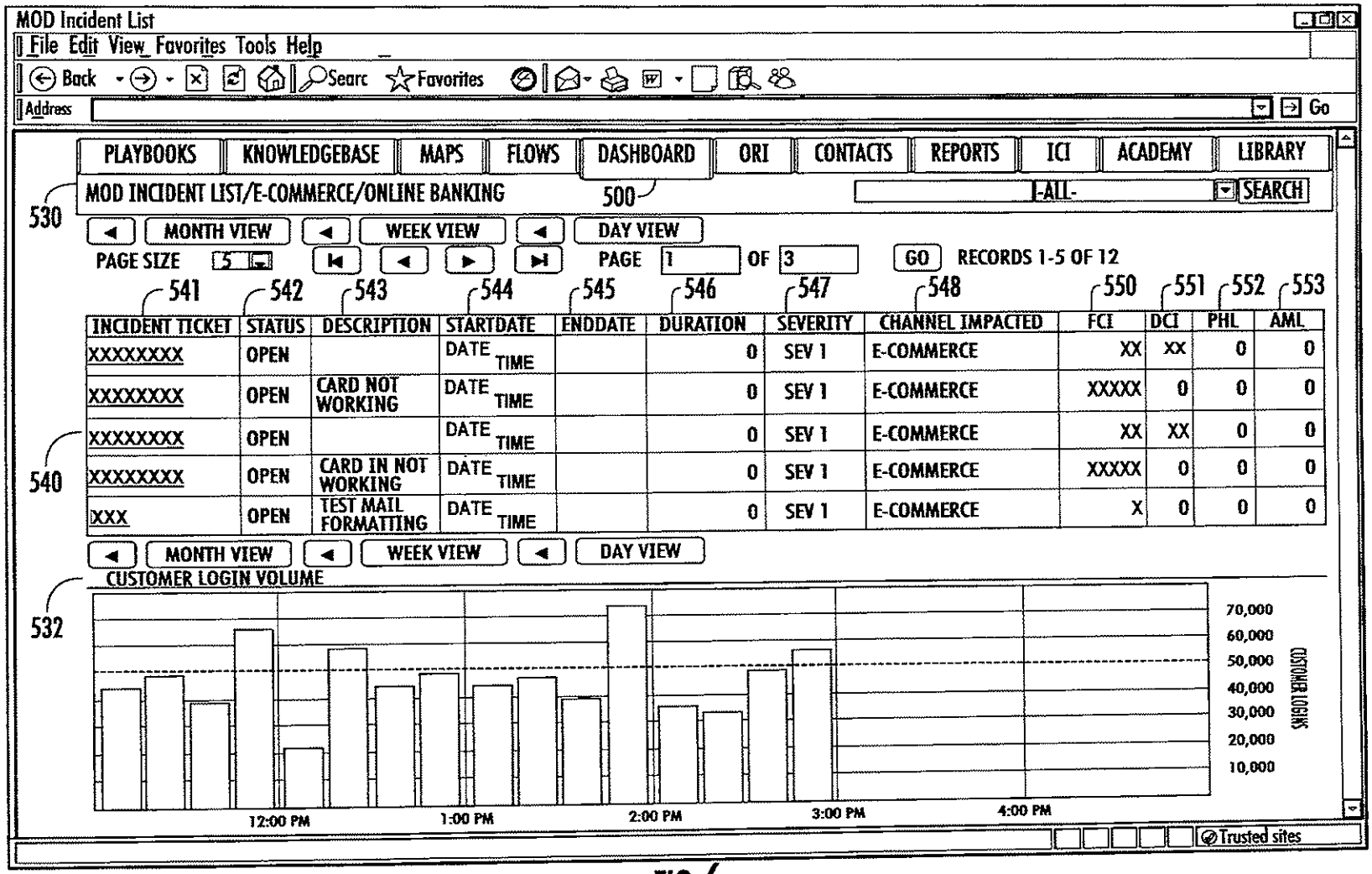

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ORI
CONTACTS
REPORTS
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ACADEMY
LIBRARY
530
MOD INCIDENT LIST/E-COMMERCE/ONLINE BANKING
500
-ALL-
SEARCH
MONTH VIEW
WEEK VIEW
DAY VIEW
PAGE SIZE 5
PAGE 1 OF 3
GO
RECORDS 1-5 OF 12
541 542 543 544 545 546 547 548 550 551 552 553
INCIDENT TICKET | STATUS | DESCRIPTION | STARTDATE | ENDDATE | DURATION | SEVERITY | CHANNEL IMPACTED | FCI | DCI | PHL | AML
XXXXXXXX | OPEN | | DATE TIME | | 0 | SEV 1 | E-COMMERCE | XX | XX | 0 | 0
XXXXXXXX | OPEN | CARD NOT WORKING | DATE TIME | | 0 | SEV 1 | E-COMMERCE | XXXXX | 0 | 0 | 0
XXXXXXXX | OPEN | | DATE TIME | | 0 | SEV 1 | E-COMMERCE | XX | XX | 0 | 0
XXXXXXXX | OPEN | CARD IN NOT WORKING | DATE TIME | | 0 | SEV 1 | E-COMMERCE | XXXXX | 0 | 0 | 0
XXX | OPEN | TEST MAIL FORMATTING | DATE TIME | | 0 | SEV 1 | E-COMMERCE | X | 0 | 0 | 0
540
MONTH VIEW
WEEK VIEW
DAY VIEW
CUSTOMER LOGIN VOLUME
532
70,000
60,000
50,000
40,000
30,000
20,000
10,000
CUSTOMER LOGINS
12:00 PM
1:00 PM
2:00 PM
3:00 PM
4:00 PM
Trusted sites

FIG. 6

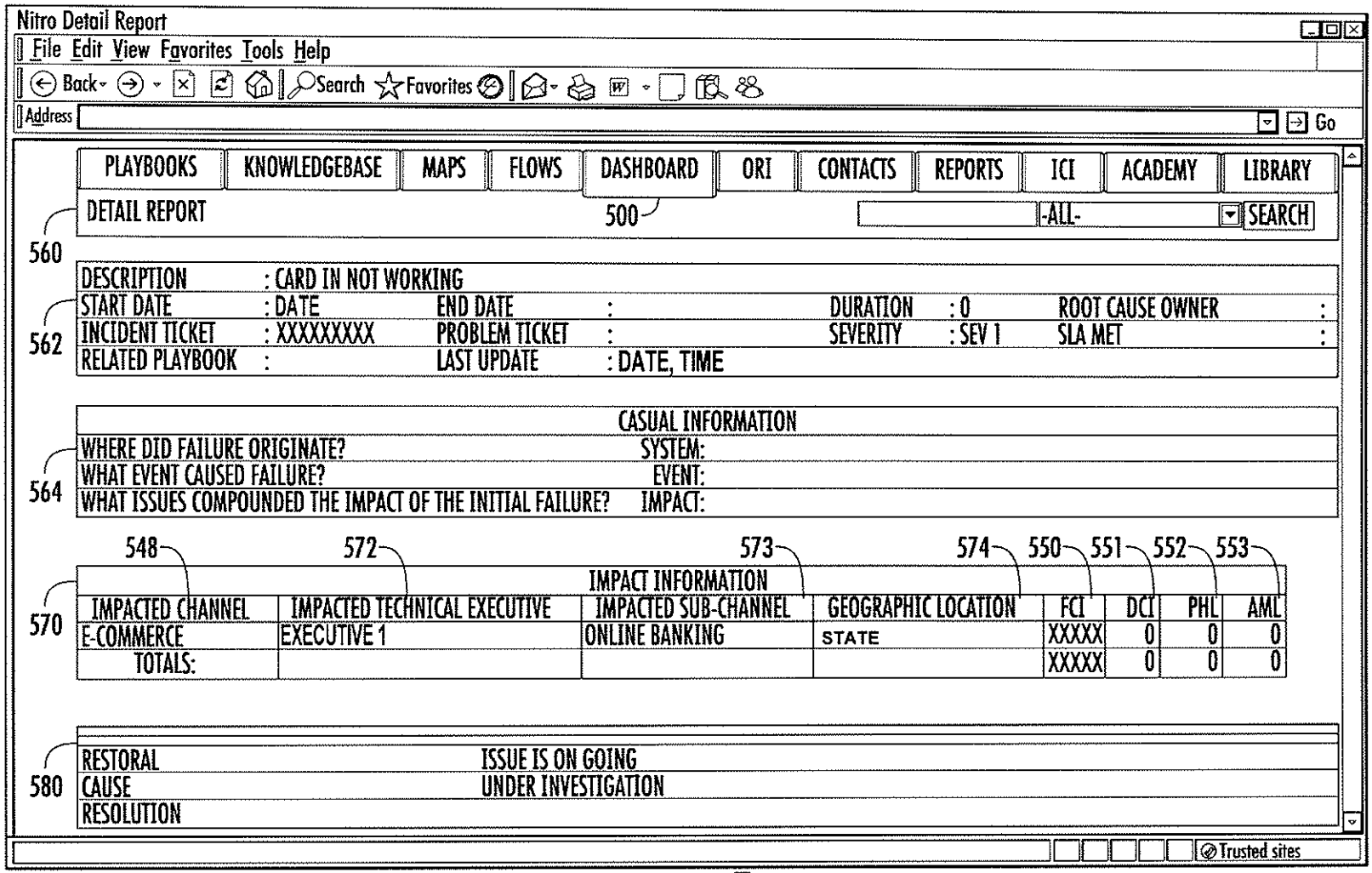

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PLAYBOOKS
KNOWLEDGEBASE
MAPS
FLOWS
DASHBOARD
ORI
CONTACTS
REPORTS
ICI
ACADEMY
LIBRARY
DETAIL REPORT
500
-ALL-
SEARCH
560
DESCRIPTION : CARD IN NOT WORKING
START DATE : DATE
END DATE :
DURATION : 0
ROOT CAUSE OWNER :
INCIDENT TICKET : XXXXXXXX
PROBLEM TICKET :
SEVERITY : SEV 1
SLA MET :
562
RELATED PLAYBOOK :
LAST UPDATE : DATE, TIME
CASUAL INFORMATION
WHERE DID FAILURE ORIGINATE?
SYSTEM:
WHAT EVENT CAUSED FAILURE?
EVENT:
564
WHAT ISSUES COMPOUNDED THE IMPACT OF THE INITIAL FAILURE?
IMPACT:
548
572
573
574
550
551
552
553
IMPACT INFORMATION
570
IMPACTED CHANNEL
IMPACTED TECHNICAL EXECUTIVE
IMPACTED SUB-CHANNEL
GEOGRAPHIC LOCATION
FCI
DCI
PHL
AML
E-COMMERCE
EXECUTIVE 1
ONLINE BANKING
STATE
XXXXX
0
0
0
TOTALS:
XXXXX
0
0
0
580
RESTORAL
ISSUE IS ON GOING
CAUSE
UNDER INVESTIGATION
RESOLUTION
Trusted sites

FIG. 7

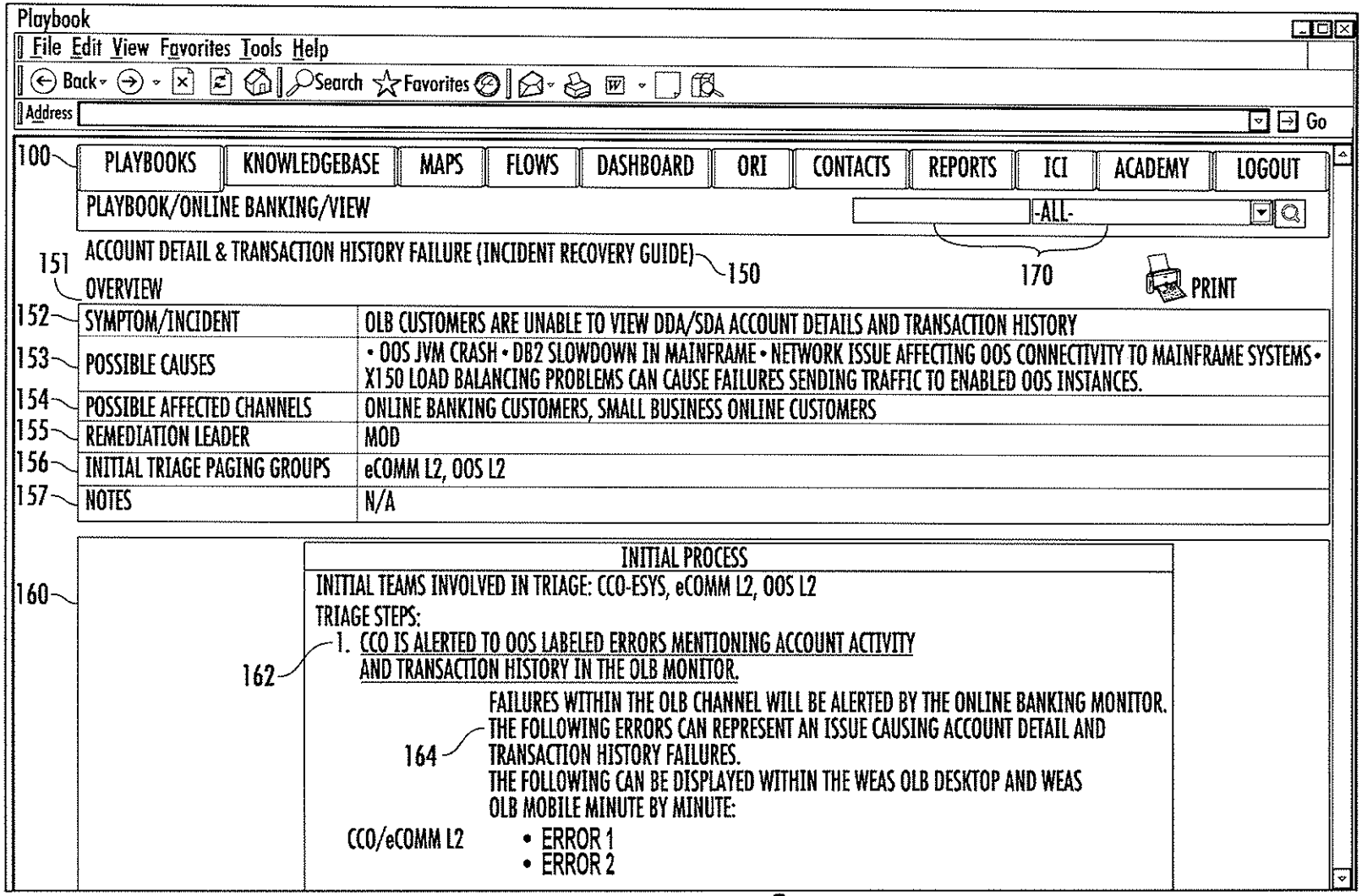

Playbook
File Edit View Favorites Tools Help
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PLAYBOOKS
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MAPS
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LOGOUT
PLAYBOOK/ONLINE BANKING/VIEW
-ALL-
ACCOUNT DETAIL & TRANSACTION HISTORY FAILURE (INCIDENT RECOVERY GUIDE)
150
170
PRINT
151
OVERVIEW
152
SYMPTOM/INCIDENT
OLB CUSTOMERS ARE UNABLE TO VIEW DDA/SDA ACCOUNT DETAILS AND TRANSACTION HISTORY
153
POSSIBLE CAUSES
• OOS JVM CRASH • DB2 SLOWDOWN IN MAINFRAME • NETWORK ISSUE AFFECTING OOS CONNECTIVITY TO MAINFRAME SYSTEMS • X150 LOAD BALANCING PROBLEMS CAN CAUSE FAILURES SENDING TRAFFIC TO ENABLED OOS INSTANCES.
154
POSSIBLE AFFECTED CHANNELS
ONLINE BANKING CUSTOMERS, SMALL BUSINESS ONLINE CUSTOMERS
155
REMEDIATION LEADER
MOD
156
INITIAL TRIAGE PAGING GROUPS
eCOMM L2, OOS L2
157
NOTES
N/A
160
INITIAL PROCESS
INITIAL TEAMS INVOLVED IN TRIAGE: CCO-ESYS, eCOMM L2, OOS L2
TRIAGE STEPS:
162
1. CCO IS ALERTED TO OOS LABELED ERRORS MENTIONING ACCOUNT ACTIVITY AND TRANSACTION HISTORY IN THE OLB MONITOR.
164
FAILURES WITHIN THE OLB CHANNEL WILL BE ALERTED BY THE ONLINE BANKING MONITOR. THE FOLLOWING ERRORS CAN REPRESENT AN ISSUE CAUSING ACCOUNT DETAIL AND TRANSACTION HISTORY FAILURES.
THE FOLLOWING CAN BE DISPLAYED WITHIN THE WEAS OLB DESKTOP AND WEAS OLB MOBILE MINUTE BY MINUTE:
CCO/eCOMM L2
• ERROR 1
• ERROR 2

FIG. 8

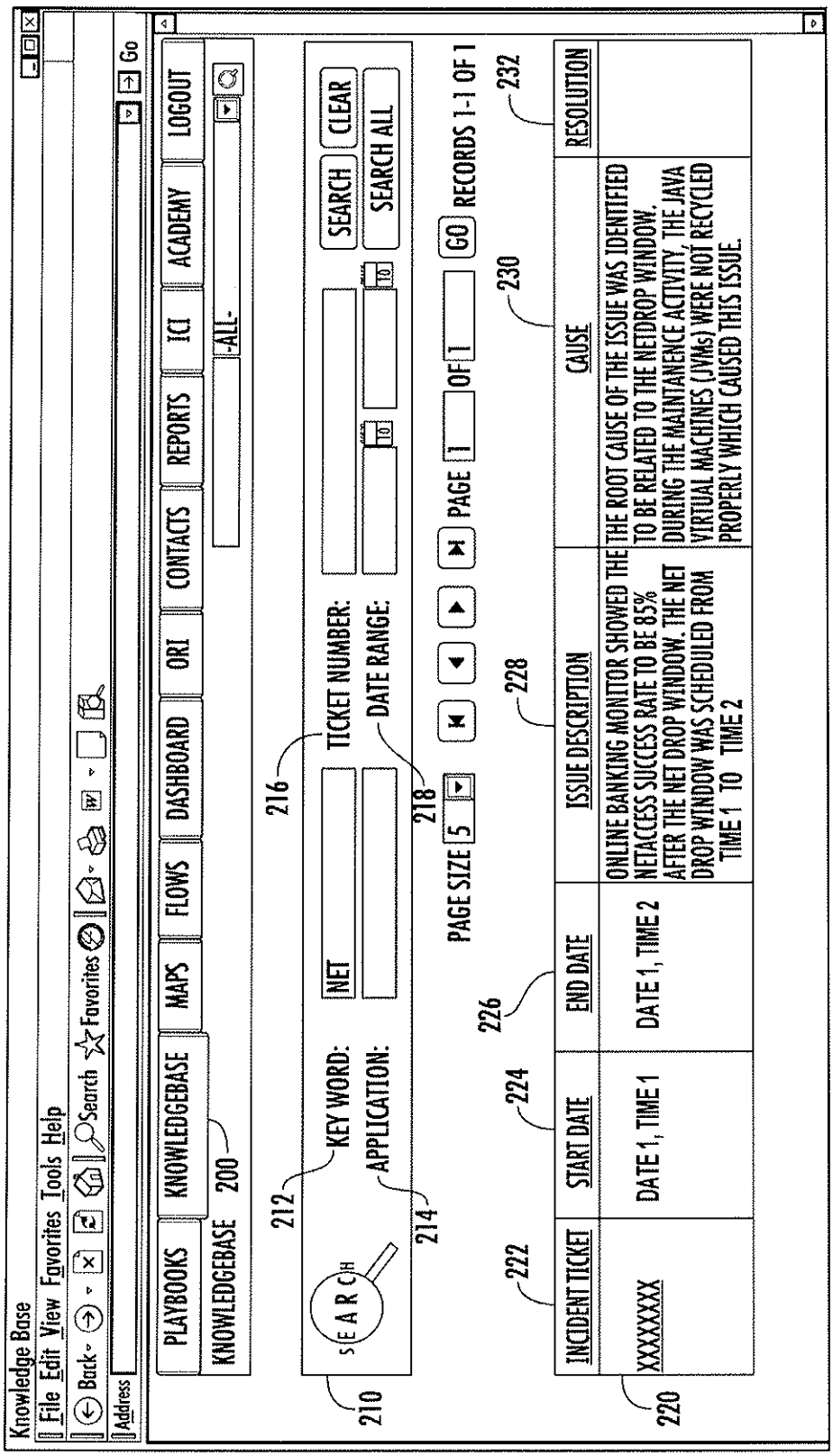

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-ALL-
SEARCH
KEY WORD:
APPLICATION:
NET
TICKET NUMBER:
DATE RANGE:
SEARCH
CLEAR
SEARCH ALL
PAGE SIZE 5
PAGE 1 OF 1
GO
RECORDS 1-1 OF 1
INCIDENT TICKET
START DATE
END DATE
ISSUE DESCRIPTION
CAUSE
RESOLUTION
XXXXXXX
DATE 1, TIME 1
DATE 1, TIME 2
ONLINE BANKING MONITOR SHOWED THE NETACCESS SUCCESS RATE TO BE 85% AFTER THE NET DROP WINDOW. THE NET DROP WINDOW WAS SCHEDULED FROM TIME 1 TO TIME 2
THE ROOT CAUSE OF THE ISSUE WAS IDENTIFIED TO BE RELATED TO THE NETDROP WINDOW. DURING THE MAINTANENCE ACTIVITY, THE JAVA VIRTUAL MACHINES (JVMs) WERE NOT RECYCLED PROPERLY WHICH CAUSED THIS ISSUE.
210
212
214
216
218
220
222
224
226
228
230
232

FIG. 9

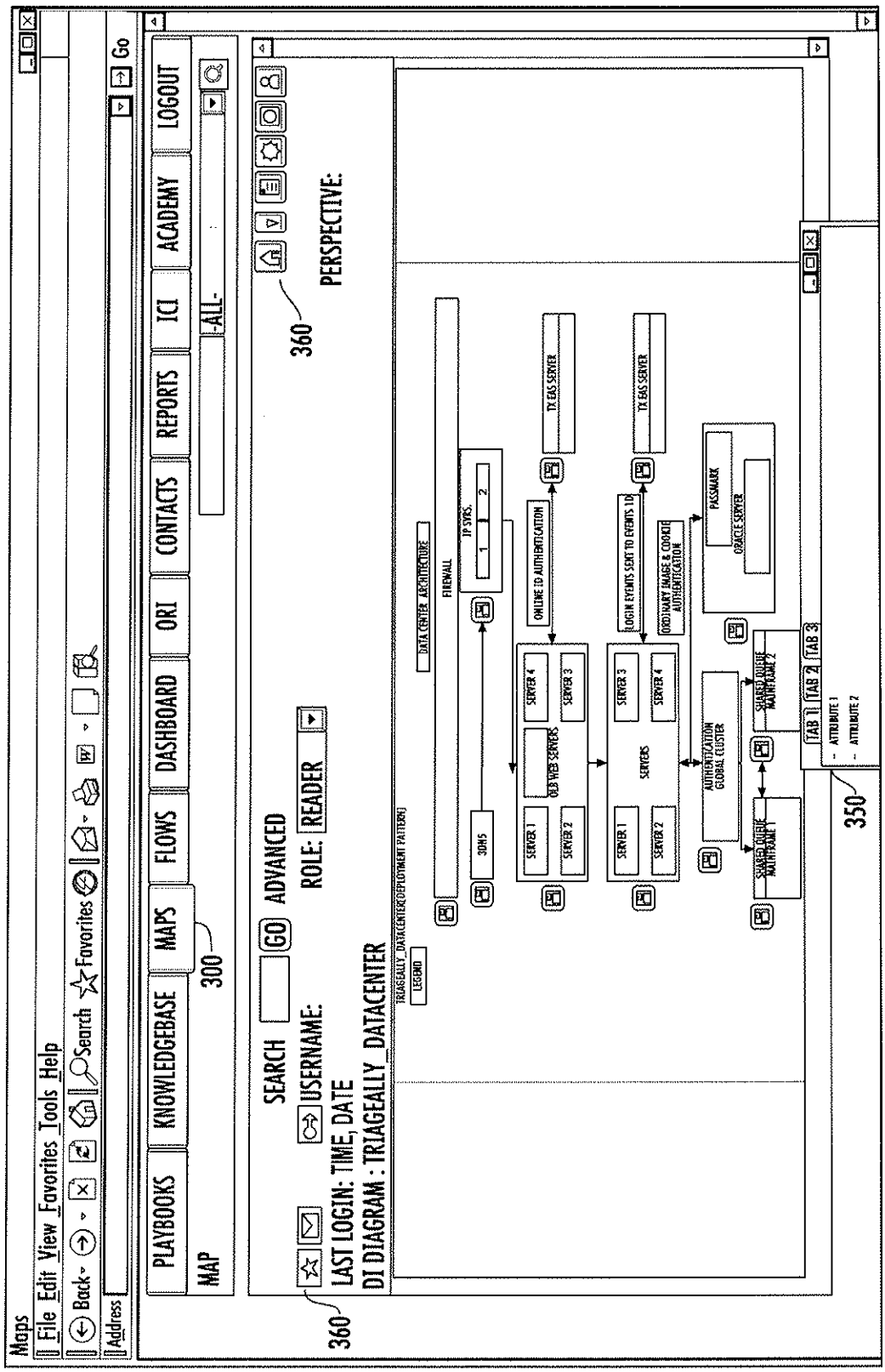

Maps
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Go
PLAYBOOKS
KNOWLEDGEBASE
MAPS
FLOWS
DASHBOARD
ORI
CONTACTS
REPORTS
ICI
ACADEMY
LOGOUT
MAP
300
SEARCH
GO
ADVANCED
USERNAME:
ROLE: READER
LAST LOGIN: TIME, DATE
DI DIAGRAM : TRIAGEALLY_DATACENTER
360
360
PERSPECTIVE:
-ALL-
TRIAGEALLY_DATACENTER(DEPLOYMENT PATTERN)
LEGEND
DATA CENTER ARCHITECTURE
FIREWALL
IP SYES.
3DHS
SERVER 1
SERVER 2
SERVER 3
SERVER 4
OB WEB SERVERS
ONLINE ID AUTHENTICATION
TX EAS SERVER
SERVERS
LOGIN EVENTS SENT TO EVENTS 1D
(OPD) HART IMAGE & COOKIE AUTHENTICATION
PASSMARK
ORACLE SERVER
AUTHENTICATION GLOBAL REGISTER
SHARED DUPRE MAINFRAME
SHARED DUPRE MAINFRAME 2
TAB 1
TAB 2
TAB 3
ATTRIBUTE 1
ATTRIBUTE 2
350

FIG. 11

FIG. 14b

TRIAGE ALLY - OPERATIONAL RELIABILITY INDEX QUESTIONNAIRE

| CATEGORY (622) | FCI PREDICTABILITY FACTORS (624) | ANSWER (626) | SUB CATEGORY WEIGHTING (628) | SOURCE (630) | FORMAT (632) | SCALE (634) | CATEGORY WEIGHTING (636) | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | E-COMM. | BCT | DCC | CARD | CRE | ATM |
| | | | | | | | 25% | 20% | 25% | 25% | 30% | 10% |
| CHANGE MANAGEMENT 651 | ARE THE PROCEDURES FOR INITIATING, APPROVING, VERIFYING AND SCHEDULING CHANGES ALWAYS ADHERED TO? | | 30% | APPLICATION MANAGER | YES/NO | | | | | | | |
| | IS THERE A CLEAR DISTINCTION BETWEEN A CHANGE REQUEST (e.g. UPGRADE APPLICATION, CHANGE ROUTER CONFIGURATION, UPDATE FIREWALL POLICIES, ETC) AND A SERVICE REQUEST (e.g. RESETTING A PASSWORD)? | | 15% | APPLICATION MANAGER | YES/NO | 1(LOWEST)-10 | | | | | | |
| | ARE THERE REGULAR REVIEW (ex. AT LEAST QUARTERLY) ON PERFORMANCE OF CHANGES IMPLEMENTED AGAINST DOCUMENTED KEY PERFORMANCE INDICATORS (KPI's) FOR THIS APPLICATION? | | 15% | APPLICATION MANAGER | YES/NO | | | | | | | |
| | ARE MULTIPLE RELATED CHANGES GROUPED AND THEN PROPERLY SCHEDULED AND COMMUNICATED TO MINIMIZE THE IMPACT TO THE BUSINESS USERS INCLUDING LAST MINUTE SCHEDULE CHANGES (FOR EXAMPLE, UNFORSEEN DELAYS DURING IMPLEMENTATION)? | | 40% | APPLICATION MANAGER | YES/NO | | | | | | | |
| AVAILABILITY MANAGEMENT 652 | | | | | | | 15% | 20% | 15% | 15% | 10% | 20% |
| | ARE THERE ANY SINGLE POINTS OF FAILURE (IF NOT KNOWN, PLEASE ANSWER YES)? | | 30% | APPLICATION MANAGER | YES/NO (NO =30%) | NO = 50% | | | | | | |
| | IF YES, CRITICALITY TO ENV OF SPOF? | | | APPLICATION | 1 - 5 | YES = 5 | | | | | | |
| | ARE AVAILABILITY IMPACT INFORMATION (INCLUDING THE DETAIL OF THE IMPACT OF PROPOSED CHANGES) COMMUNICATED TO THE CHANGE MANAGEMENT PROCESS AREA? | | 10% | APPLICATION MANAGER | | | | | | | | |
| | IS THERE A REGULAR (ex. AT LEAST EVERY 6-MONTHS) REVIEW OF CURRENT INFRASTRUCTURE AGAINST REQUIRED AVAILABILITY<br>1. WITH A VIEW TO IDENTIFY SPOF?<br>2. WITH A VIEW TO OPTIMIZING EQUIPMENT (LOWERING COST)? | | 15% | APPLICATION MANAGER | | | | | | | | |
| | DO YOU HAVE PROCEDURES FOR MONITORING, ANALYZING, AND FORECASTING SERVICE AVAILABILITY? | | 5% | APPLICATION MANAGER | | | | | | | | |
| | ARE THERE AUDIT PROCEDURES IN PLACE TO VALIDATE THE ONGOING ACCURACY AND APPROPRIATENESS OF THE MONITORING AND FORECASTING PROCEDURES? | | 15% | | | | | | | | | |
| | DO YOU HAVE DEFINED TARGETS FOR THE AVAILABILITY, RELIABILITY AND MAINTAINABILITY OF IT INFRASTRUCTURE COMPONENTS (INCLUDING 3RD PARTY VENDORS) RELIED UPON BY THE APPLICATION? | | 10% | APPLICATION MANAGER | | | | | | | | |
| | DO YOU CARRY OUT MONITORING AND TREND ANALYSIS OF THE AVAILABILITY, RELIABILITY AND MAINTAINABILITY OF IT INFRASTRUCTURE COMPONENTS (INCLUDING 3RD PARTY VENDORS) TO HELP IDENTIFY POTENTIAL FUTURE BOTTLENECKS? | | 15% | APPLICATION MANAGER | | | | | | | | |

610, 612

FIG. 14c

TRIAGE ALLY - OPERATIONAL RELIABILITY INDEX QUESTIONNAIRE

| CATEGORY (622) | FCI PREDICTABILITY FACTORS (624) | ANSWER (626) | SUB CATEGORY WEIGHTING (628) | SOURCE (630) | FORMAT (632) | SCALE (634) | CATEGORY WEIGHTING (636) | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | E-COMM. | BCT | DCC | CARD | MHEIT | ATM |
| | | | | | | | 10% | 15% | 20% | 20% | 10% | 20% |
| SERVICE CONTINUITY MANAGEMENT 653 | BUSINESS CONTINUITY PLAN IN STANDARD FORMAT? | | 30% | AIT | YES/NO | NO=0% | | | | | | |
| | DATE OF LAST TEST | | 1-2+YEARS | AIT | >1 YR 0% | <1 YR 30% | | | | | | |
| | HAVE ALL OUTSTANDING ISSUES IDENTIFIED AS A RESULT OF TESTING BEEN RESOLVED OR IS AN APPROVED BUSINESS CONTINUITY REMEDIATION PLAN IN PLACE? | | 15% | AIT | YES/NO | | | | | | | |
| | IS THERE A DOCUMENTED AND KNOWN RECOVERY PLAN IN PLACE FOR EACH SERVICE AREA, IN THE EVENT OF AN UNFORESEEN ISSUE? | | 5% | AIT | | | | | | | | |
| | ARE THERE REGULAR BACKUPS OF CRITICAL DATA TAKEN AND STORED SECURELY? | | 30% | | | | | | | | | |
| | ARE CRITICAL BACKUPS OF INFORMATION TESTED ON A REGULAR BASIS? | | 10% | | | | | | | | | |
| | IS TESTING PERFORMED FOR QUALITY ATTRIBUTES SUCH AS RELIABILITY, USABILITY, AND MAINTAINABILITY? | | 10% | | | | | | | | | |
| KNOWLEDGE TRANSFER MANAGEMENT 654 | | | | | | | 5% | 5% | 5% | 5% | 5% | 5% |
| | HAS HANDOVER/TAKEOVER MEETING CONDUCTED WITH INITIAL TEAM? | | 10% | APPLICATION MANAGER | YES/NO | YES=10% NO=0% | | | | | | |
| | HAS NECESSARY DOCUMENTATION BEEN COMPLETED | | 30% | APPLICATION MANAGER | YES/NO | YES=30% NO=0% | | | | | | |
| | RATE THE QUALITY OF ONBOARDING NEW RESOURCES (BANK AND STRATEGIC PARTNER) | | 20% | APPLICATION MANAGER | 1-5 WITH 5 BEING BEST QUALITY | 5=20% 4=15% 3=10% 2=5% 1=0% | | | | | | |
| | RATE THE QUALITY OF TRAINING DOCUMENTATION AND SCHEDULES | | 20% | APPLICATION MANAGER | 1-5 WITH 5 BEING BEST QUALITY | 5=20% 4=15% 3=10% 2=5% 1=0% | | | | | | |
| | ARE WORKAROUNDS DOCUMENTED/NEW CHANGES TESTED WITH WORKAROUNDS IN PLACE? | | 20% | APPLICATION MANAGER | | | | | | | | |

FIG. 14d

TRIAGE ALLY - OPERATIONAL RELIABILITY INDEX QUESTIONNAIRE

| CATEGORY (622) | FCI PREDICTABILITY FACTORS (624) | ANSWER (626) | SUB CATEGORY WEIGHTING (628) | SOURCE (630) | FORMAT (632) | SCALE (634) | CATEGORY WEIGHTING (636) | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | E-COMM. | BCT | DCC | CARD | MHEIT | ATM |
| | | | | | | | 15% | 15% | 15% | 15% | 15% | 15% |
| INFRASTRUCTURE AND RISK MANAGEMENT 655 | DOES APPLICATION USE ANY NON-PERMITTED TECHNOLOGIES? (CONSIDER SOFTWARE LEVEL: NON-PERMITED SCORE BY NCG (CAN BE MORE THAN 1 PER APPLICATION) | | 50% | RTT | YES/NO | NO=50% | | | | | | |
| | IF YES, HOW MANY INSTANCES OF NP TECHNOLOGY EXISTS? | | | RTT | | | | | | | | |
| | DOES APPLICATION HAVE REMEDIATION PLAN FOR ANY NON-PERMITTED TECHNOLOGIES? | | | RTT | | YES={1 INSTANCE= 30% >1=10%); NO=0% | | | | | | |
| | DOES APPLICATION HAVE A CONTROL PLAN? | | 30% | AIT | YES/NO | NO=0% | | | | | | |
| | WAS CONTROL PLAN UPDATED WITHIN PAST CALENDAR YEAR? | | | AIT | >1 YR, 0% | <1 YR, 30% | | | | | | |
| | DOES THE BUSINESS IMPACT ANALYSIS EXIST? | | 20% | AIT | YES/NO | NO=0% | | | | | | |
| | | | | | | | 5% | 5% | 5% | 5% | 5% | 5% |
| CAPACITY MANAGEMENT 656 | ON AVERAGE HOW CLOSE ARE CURRENT PROCESSING VOLUMES TO THE VOLUME CEILING OF THE APPLICATION? | | 40% | AIT | <40%, 40-80%, >80% | <40%= 40%, 40-80%= 15%, >80%= 0% | | | | | | |
| | ARE THERE ANY KNOWN INITIATIVES THAT WILL INCREASE RATE OF GROWTH? (INITIATIVE, SALES CAMPAIGNS, ETC.) | | 5% | APPLICATION MANAGER | YES/NO | YES/NO | | | | | | |
| | ARE THRESHOLD ALARMS IN PLACE FOR INDIVIDUAL SERVICES THAT ALERT STAFF ABOUT APPROACHING MAXIMUM CAPACITY LIMITS? | | 10% | APPLICATION MANAGER | | | | | | | | |
| | ARE KEY COMPONENTS (RESOURCES) MONITORED FOR CAPACITY LOAD (e.g.. HARD DISK, MEMORY, CPU, etc.) | | 10% | APPLICATION MANAGER | | | | | | | | |
| | IS CAPACITY DATA CONSTANTLY ANALYZED TO HELP IN RESOLUTION OF INCIDENTS AND PROBLEMS? | | 5% | APPLICATION MANAGER | | | | | | | | |
| | ARE CHANGES TO THE CAPACITY OF THE APPLICATION HANDLED THROUGH A FORMAL CHANGE MANAGEMENT PROCESS? | | 30% | APPLICATION MANAGER | | | | | | | | |

FIG. 14e

TRIAGE ALLY - OPERATIONAL RELIABILITY INDEX QUESTIONNAIRE

| CATEGORY (622) | FCI PREDICTABILITY FACTORS (624) | ANSWER (626) | SUB CATEGORY WEIGHTING (628) | SOURCE (630) | FORMAT (632) | SCALE (634) | CATEGORY WEIGHTING (636) | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | E-COMM | BCT | DCC | CARD | MHEIT | ATM |
| | | | | | | | 10% | 10% | 5% | 5% | 10% | 10% |
| SERVICE LEVEL MANAGEMENT 657 | DO SERVICE LEVEL AGREEMENTS EXIST BETWEEN LOB AND GTS&F? | | 20% | ATT | YES/NO | YES= 20%;NO= 0% | | | | | | |
| | IS RISK RATING ASSIGNED BY LOB? | | 20% | ATT | YES/NO | YES= 20%;NO= 0% | | | | | | |
| | DOES THE CURRENT APPLICATION DESIGN SUPPORT THE LOB RISK RATING/SLA? | | 20% | APPLICATION MANAGER | YES/NO | YES= 20%;NO= 0% | | | | | | |
| | ARE AGREEMENTS WITH VENDORS DOCUMENTED AND REFLECTED IN THE SLA'S? | | 20% | APPLICATION MANAGER | | | | | | | | |
| | DOES THE SLA STRUCTURE INCLUDE FEATURES SUCH AS RELIABILITY, SECURITY, SERVICE HOURS, SUPPORT, RESPONSE TIMES, TURNAROUND TIMES, PERFORMANCE CRITERIA? | | 10% | APPLICATION MANAGER | | | | | | | | |
| | ARE THERE MECHANISMS IN PLACE TO MONITOR AND MEASURE ALL ITEMS IN EXISTING SLAS? | | 5% | APPLICATION MANAGER | | | | | | | | |
| | DO SLAS HAVE CLEARLY IDENTIFIED KEY TARGETS FOR SERVICE HOURS, AVAILABILITY, RELIABILITY, SUPPORT, RESPONSE TIMES AND CHANGE HANDLING? | | 5% | APPLICATION MANAGER | | | | | | | | |
| SYSTEMS MANAGEMENT 658 | | | | | | | 15% | 10% | 10% | 10% | 15% | 15% |
| | ARE TOOLS AND PROCESSES IN PLACE TO AUTOMATE OR QUICKLY REACT TO CUSTOMER/ AGENT IMPACTING EVENTS TO PROVIDE OPERATIONAL RELIEF? | | 35% | APPLICATION MANAGER | | | | | | | | |
| | ARE COMPONENT BASED TECHNOLOGY MONITORING TOOLS AVAILABLE? EXAMPLE: INTROSCOPE, PERFMON, NETSCOUT, SITESCOPE, MQUEUE COMMAND CENTER, etc. | | 15% | APPLICATION MANAGER | | | | | | | | |
| | IS THE OPERATING SYSTEM (ON WHICH THE APPLICATION COMPONENTS ARE INSTALLED) MONITORED ON SERVER AND CLIENT MACHINES (CPU LOAD, MEMORY USAGE, DIRECTORY SPACE) | | 10% | APPLICATION MANAGER | | | | | | | | |
| | IS THE OPERATING SYSTEM (ON WHICH THE APPLICATION COMPONENTS ARE INSTALLED) MONITORED ON SERVER AND CLIENT MACHINES (PAGING, FILE I/O, NETWORK I/O, LOCAL DISK I/O, REMOTE DISK I/O) | | 5% | APPLICATION MANAGER | | | | | | | | |
| | ARE APPLICATION PERFORMANCE TRENDS MONITORED AND PROJECTED FORWARD TO INDICATE WHEN THRESHOLDS WILL BREAK AND PROJECTED BREAKS THAT ARE ALERTED WITH SUFFICIENT TIME TO ALTER THE APPLICATION/SYSTEM TO AVOID SERVICE BREAKS FROM HAPPENING? | | 15% | APPLICATION MANAGER | | | | | | | | |
| | ARE COMPONENT/APPLICATION INTERFACES MONITORED (ALL COMPONENT BOUNDARIES , FRAMEWORK INTERFACES) | | 5% | APPLICATION MANAGER | | | | | | | | |
| | ARE CUSTOMER EXPERIENCE MONITORING TOOLS AVAILABLE? EXAMPLE: TOPAZ, ONLINE BANKING MONITOR, COMPUWARE VANTAGE AGENTLESS MONITORING (MEASURE TRANSACTION RESPONSE TIME, TRANSACTION VOLUME) | | 15% | APPLICATION MANAGER | | | | | | | | |
| | | | | | | | 100% | 100% | 100% | 100% | 100% | 100% |

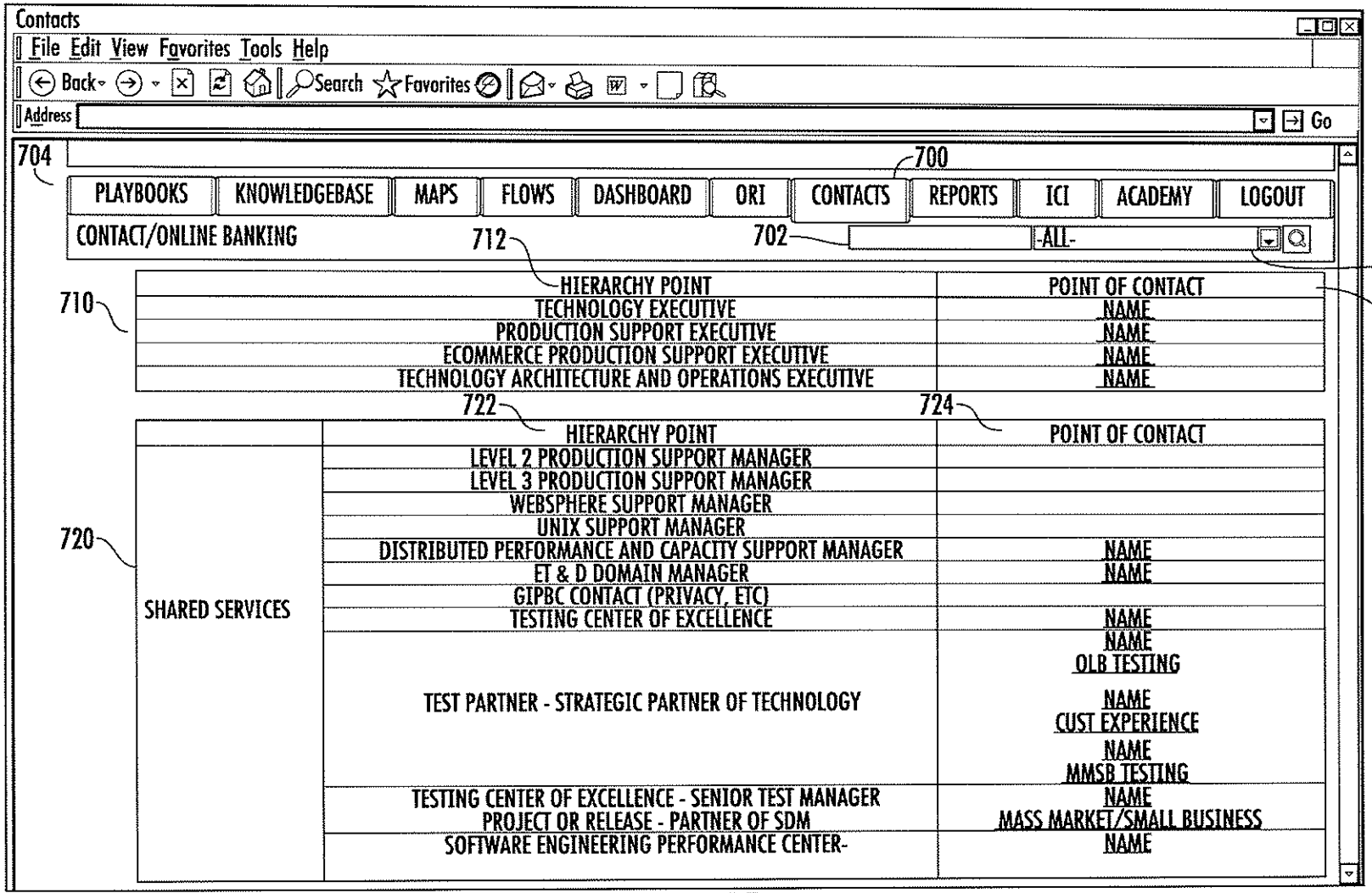

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-ALL-
703
HIERARCHY POINT
POINT OF CONTACT
714
710
TECHNOLOGY EXECUTIVE
NAME
PRODUCTION SUPPORT EXECUTIVE
NAME
ECOMMERCE PRODUCTION SUPPORT EXECUTIVE
NAME
TECHNOLOGY ARCHITECTURE AND OPERATIONS EXECUTIVE
NAME
722
724
HIERARCHY POINT
POINT OF CONTACT
720
SHARED SERVICES
LEVEL 2 PRODUCTION SUPPORT MANAGER
LEVEL 3 PRODUCTION SUPPORT MANAGER
WEBSPHERE SUPPORT MANAGER
UNIX SUPPORT MANAGER
DISTRIBUTED PERFORMANCE AND CAPACITY SUPPORT MANAGER
NAME
ET & D DOMAIN MANAGER
NAME
GIPBC CONTACT (PRIVACY, ETC)
TESTING CENTER OF EXCELLENCE
NAME
TEST PARTNER - STRATEGIC PARTNER OF TECHNOLOGY
NAME
OLB TESTING
NAME
CUST EXPERIENCE
NAME
MMSB TESTING
TESTING CENTER OF EXCELLENCE - SENIOR TEST MANAGER
PROJECT OR RELEASE - PARTNER OF SDM
NAME
MASS MARKET/SMALL BUSINESS
SOFTWARE ENGINEERING PERFORMANCE CENTER-
NAME

FIG. 15

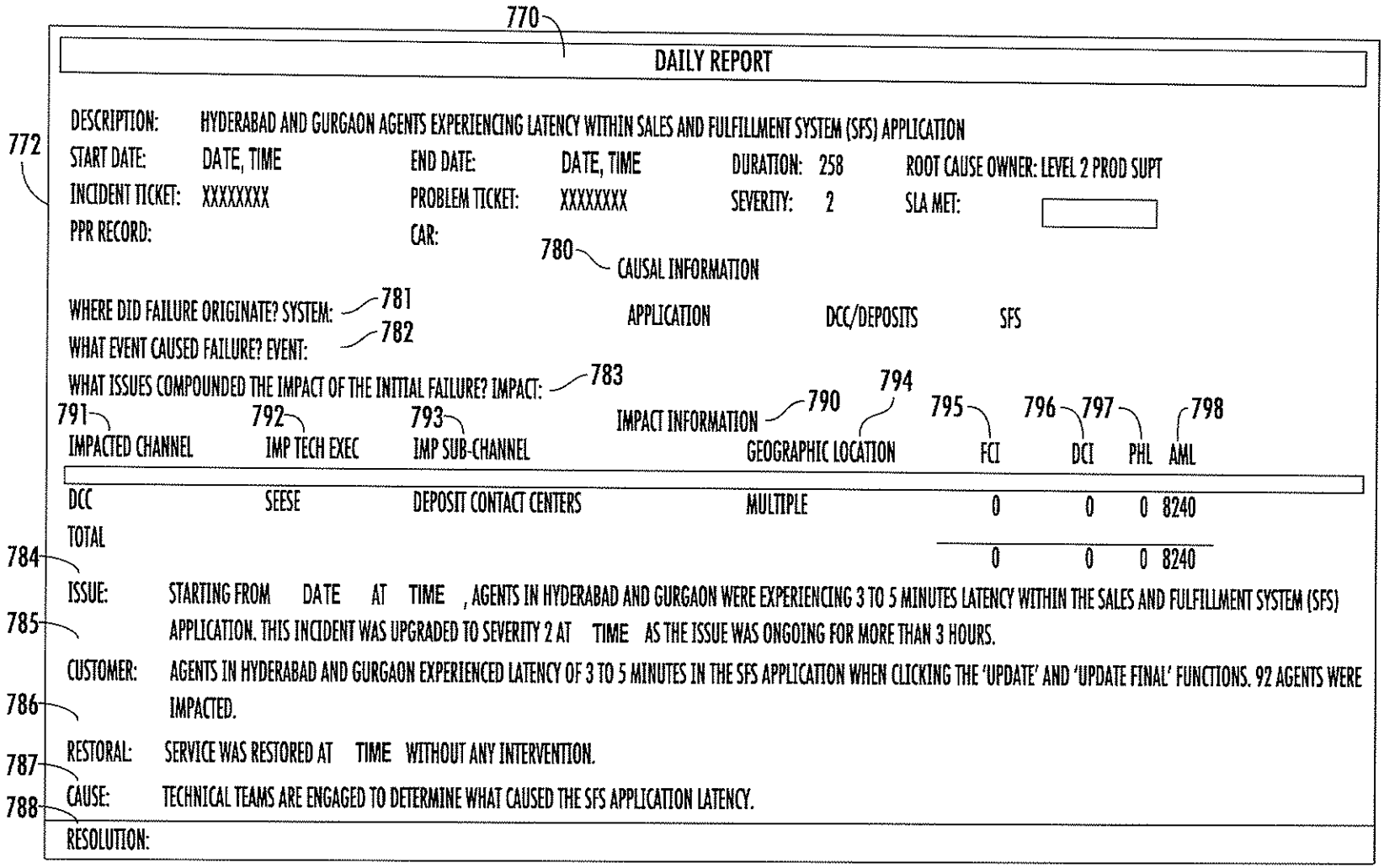

770
DAILY REPORT
772
DESCRIPTION: HYDERABAD AND GURGAON AGENTS EXPERIENCING LATENCY WITHIN SALES AND FULFILLMENT SYSTEM (SFS) APPLICATION
START DATE: DATE, TIME
END DATE: DATE, TIME
DURATION: 258
ROOT CAUSE OWNER: LEVEL 2 PROD SUPT
INCIDENT TICKET: XXXXXXXX
PROBLEM TICKET: XXXXXXXX
SEVERITY: 2
SLA MET:
PPR RECORD:
CAR:
780
CAUSAL INFORMATION
WHERE DID FAILURE ORIGINATE? SYSTEM: 781
APPLICATION
DCC/DEPOSITS
SFS
WHAT EVENT CAUSED FAILURE? EVENT: 782
WHAT ISSUES COMPOUNDED THE IMPACT OF THE INITIAL FAILURE? IMPACT: 783
IMPACT INFORMATION 790
791 IMPACTED CHANNEL
792 IMP TECH EXEC
793 IMP SUB-CHANNEL
794 GEOGRAPHIC LOCATION
795 FCI
796 DCI
797 PHL
798 AML
DCC SEESE DEPOSIT CONTACT CENTERS MULTIPLE 0 0 0 8240
TOTAL 0 0 0 8240
784 ISSUE: STARTING FROM DATE AT TIME , AGENTS IN HYDERABAD AND GURGAON WERE EXPERIENCING 3 TO 5 MINUTES LATENCY WITHIN THE SALES AND FULFILLMENT SYSTEM (SFS) APPLICATION. THIS INCIDENT WAS UPGRADED TO SEVERITY 2 AT TIME AS THE ISSUE WAS ONGOING FOR MORE THAN 3 HOURS.
785
CUSTOMER: AGENTS IN HYDERABAD AND GURGAON EXPERIENCED LATENCY OF 3 TO 5 MINUTES IN THE SFS APPLICATION WHEN CLICKING THE 'UPDATE' AND 'UPDATE FINAL' FUNCTIONS. 92 AGENTS WERE IMPACTED.
786
RESTORAL: SERVICE WAS RESTORED AT TIME WITHOUT ANY INTERVENTION.
787
CAUSE: TECHNICAL TEAMS ARE ENGAGED TO DETERMINE WHAT CAUSED THE SFS APPLICATION LATENCY.
788
RESOLUTION:

FIG. 17

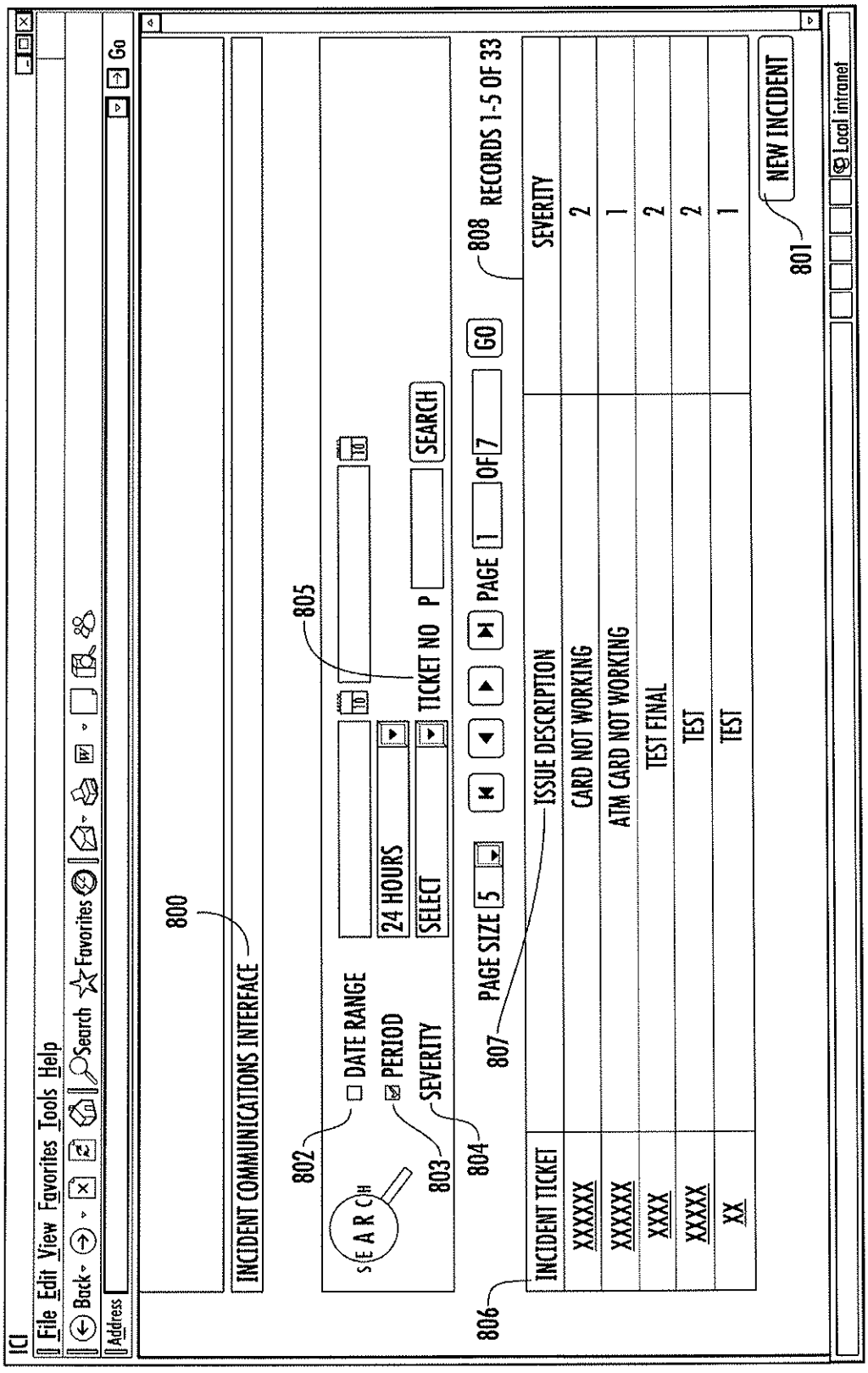

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INCIDENT COMMUNICATIONS INTERFACE
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802
DATE RANGE
PERIOD
SEVERITY
803
804
24 HOURS
SELECT
TO
TO
TICKET NO
P
SEARCH
806
PAGE SIZE 5
807
PAGE 1 OF 7
GO
808
RECORDS 1-5 OF 33
INCIDENT TICKET
ISSUE DESCRIPTION
SEVERITY
XXXXXX
CARD NOT WORKING
2
XXXXXX
ATM CARD NOT WORKING
1
XXXX
TEST FINAL
2
XXXXX
TEST
2
XX
TEST
1
801
NEW INCIDENT
Local intranet

FIG. 19

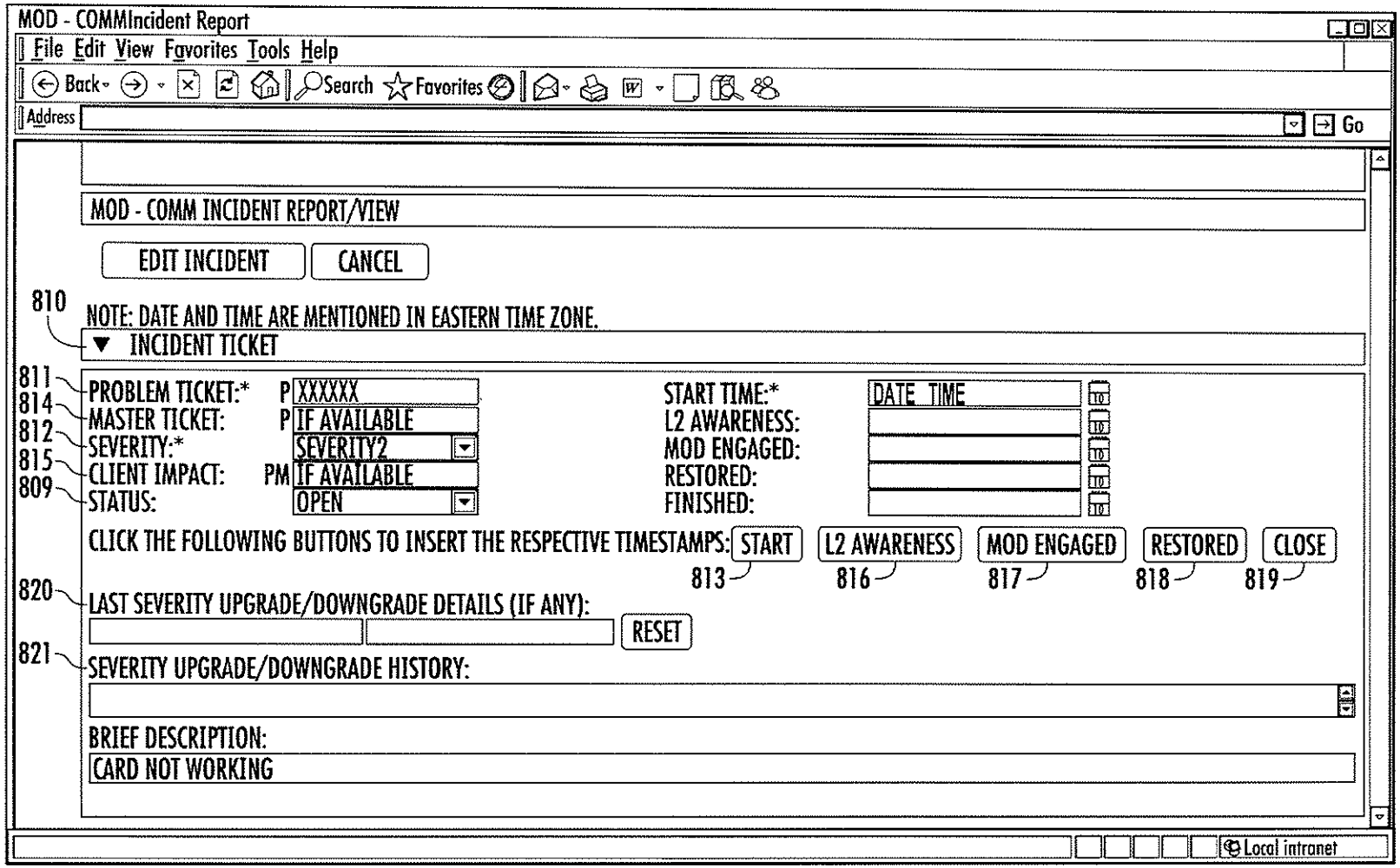

MOD - COMMIncident Report
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Address
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MOD - COMM INCIDENT REPORT/VIEW
EDIT INCIDENT
CANCEL
810
NOTE: DATE AND TIME ARE MENTIONED IN EASTERN TIME ZONE.
INCIDENT TICKET
811 PROBLEM TICKET:* P XXXXXX
814 MASTER TICKET: P IF AVAILABLE
812 SEVERITY:* SEVERITY2
815 CLIENT IMPACT: PM IF AVAILABLE
809 STATUS: OPEN
START TIME:* DATE TIME
L2 AWARENESS:
MOD ENGAGED:
RESTORED:
FINISHED:
CLICK THE FOLLOWING BUTTONS TO INSERT THE RESPECTIVE TIMESTAMPS:
START
L2 AWARENESS
MOD ENGAGED
RESTORED
CLOSE
813
816
817
818
819
820 LAST SEVERITY UPGRADE/DOWNGRADE DETAILS (IF ANY):
RESET
821 SEVERITY UPGRADE/DOWNGRADE HISTORY:
BRIEF DESCRIPTION:
CARD NOT WORKING
Local intranet

FIG. 20

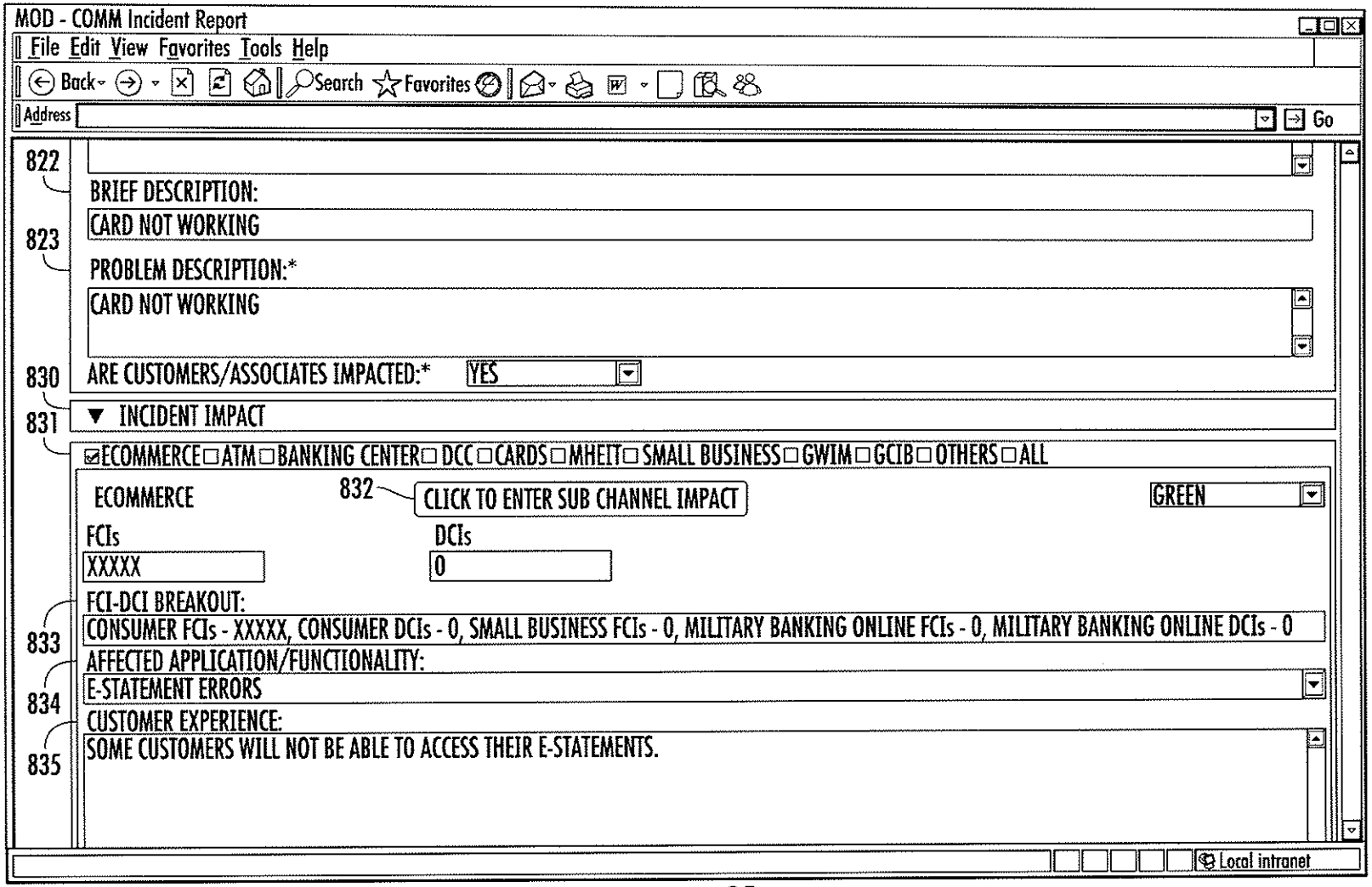

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Address
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822
BRIEF DESCRIPTION:
823
CARD NOT WORKING
PROBLEM DESCRIPTION:*
CARD NOT WORKING
830
ARE CUSTOMERS/ASSOCIATES IMPACTED:*
YES
831
INCIDENT IMPACT
ECOMMERCE ATM BANKING CENTER DCC CARDS MHEIT SMALL BUSINESS GWIM GCIB OTHERS ALL
ECOMMERCE
832
CLICK TO ENTER SUB CHANNEL IMPACT
GREEN
FCIs
XXXXX
DCIs
0
FCI-DCI BREAKOUT:
833
CONSUMER FCIs - XXXXX, CONSUMER DCIs - 0, SMALL BUSINESS FCIs - 0, MILITARY BANKING ONLINE FCIs - 0, MILITARY BANKING ONLINE DCIs - 0
AFFECTED APPLICATION/FUNCTIONALITY:
834
E-STATEMENT ERRORS
CUSTOMER EXPERIENCE:
835
SOME CUSTOMERS WILL NOT BE ABLE TO ACCESS THEIR E-STATEMENTS.
Local intranet

FIG. 21

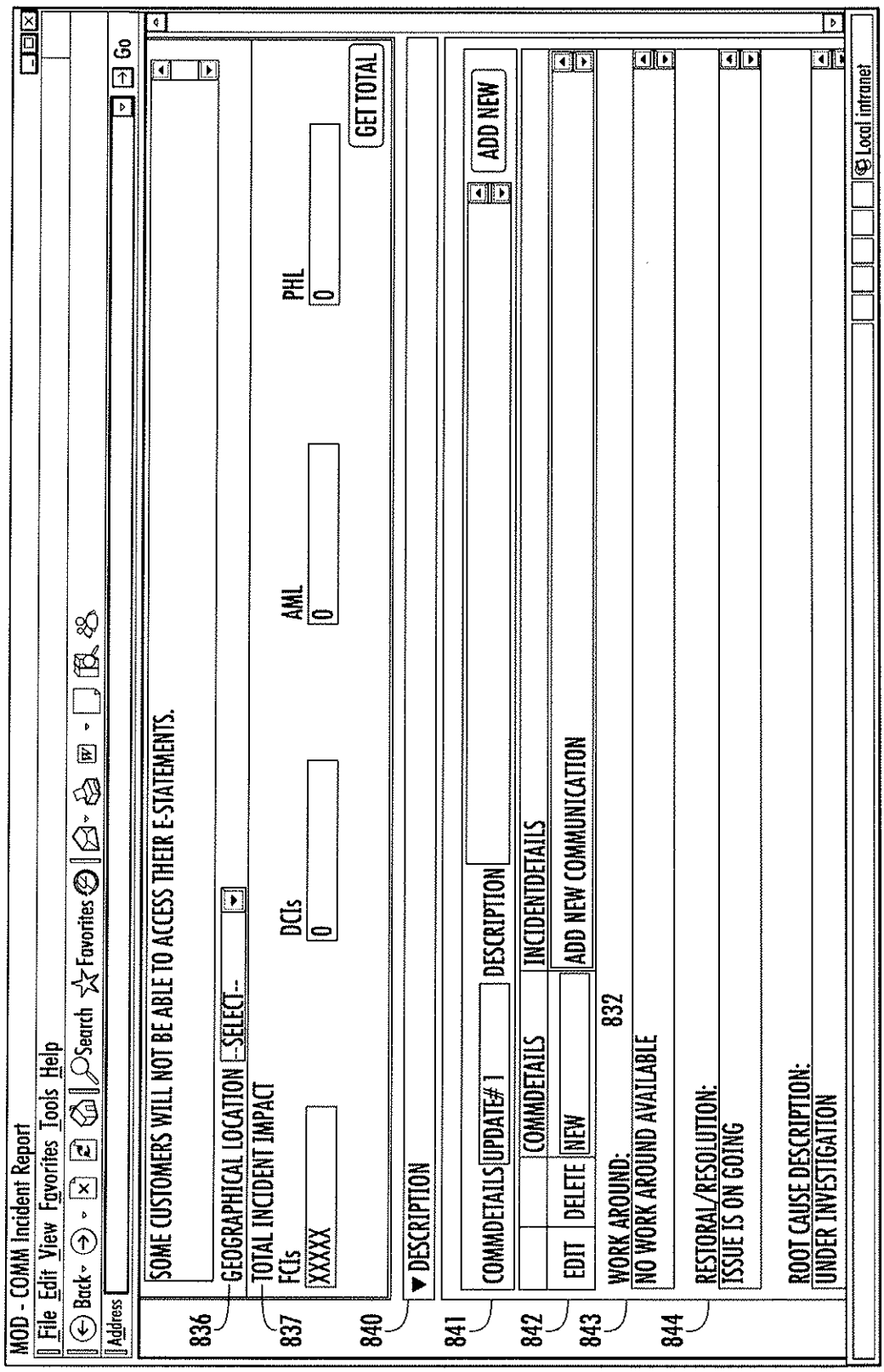

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Address
Go
836
SOME CUSTOMERS WILL NOT BE ABLE TO ACCESS THEIR E-STATEMENTS.
GEOGRAPHICAL LOCATION -SELECT--
837
TOTAL INCIDENT IMPACT
FCIs
XXXXX
DCIs
0
AML
0
PHL
0
GET TOTAL
840
DESCRIPTION
841
COMMDETAILS
UPDATE# 1
DESCRIPTION
ADD NEW
842
COMMDETAILS
INCIDENTDETAILS
EDIT
DELETE
NEW
ADD NEW COMMUNICATION
843
WORK AROUND:
832
NO WORK AROUND AVAILABLE
844
RESTORAL/RESOLUTION:
ISSUE IS ON GOING
ROOT CAUSE DESCRIPTION:
UNDER INVESTIGATION
Local intranet

FIG. 22

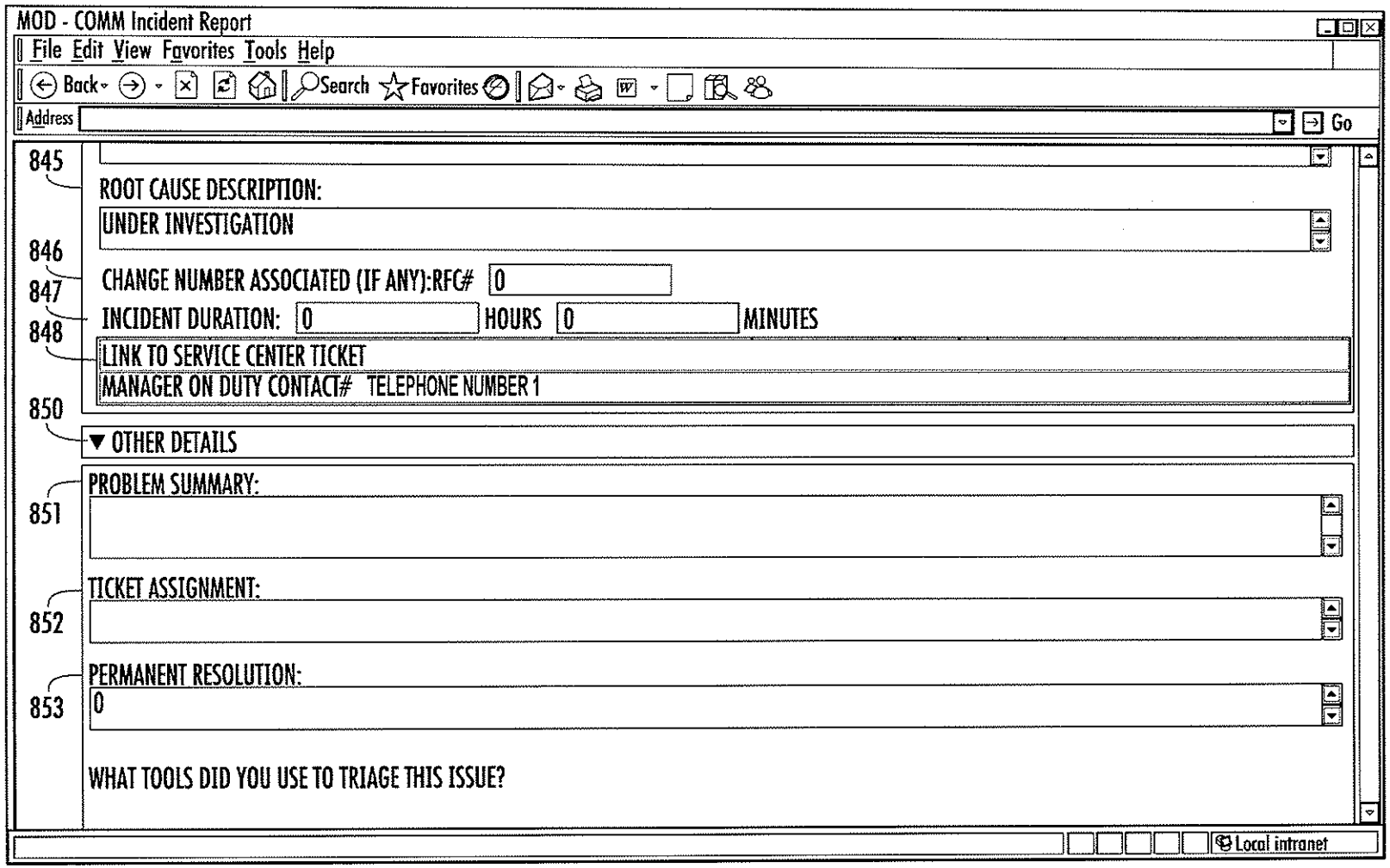

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845
ROOT CAUSE DESCRIPTION:
UNDER INVESTIGATION
846
CHANGE NUMBER ASSOCIATED (IF ANY):RFC#
0
847
INCIDENT DURATION:
0
HOURS
0
MINUTES
848
LINK TO SERVICE CENTER TICKET
MANAGER ON DUTY CONTACT# TELEPHONE NUMBER 1
850
▼ OTHER DETAILS
PROBLEM SUMMARY:
851
TICKET ASSIGNMENT:
852
PERMANENT RESOLUTION:
853
0
WHAT TOOLS DID YOU USE TO TRIAGE THIS ISSUE?
Local intranet

FIG. 23

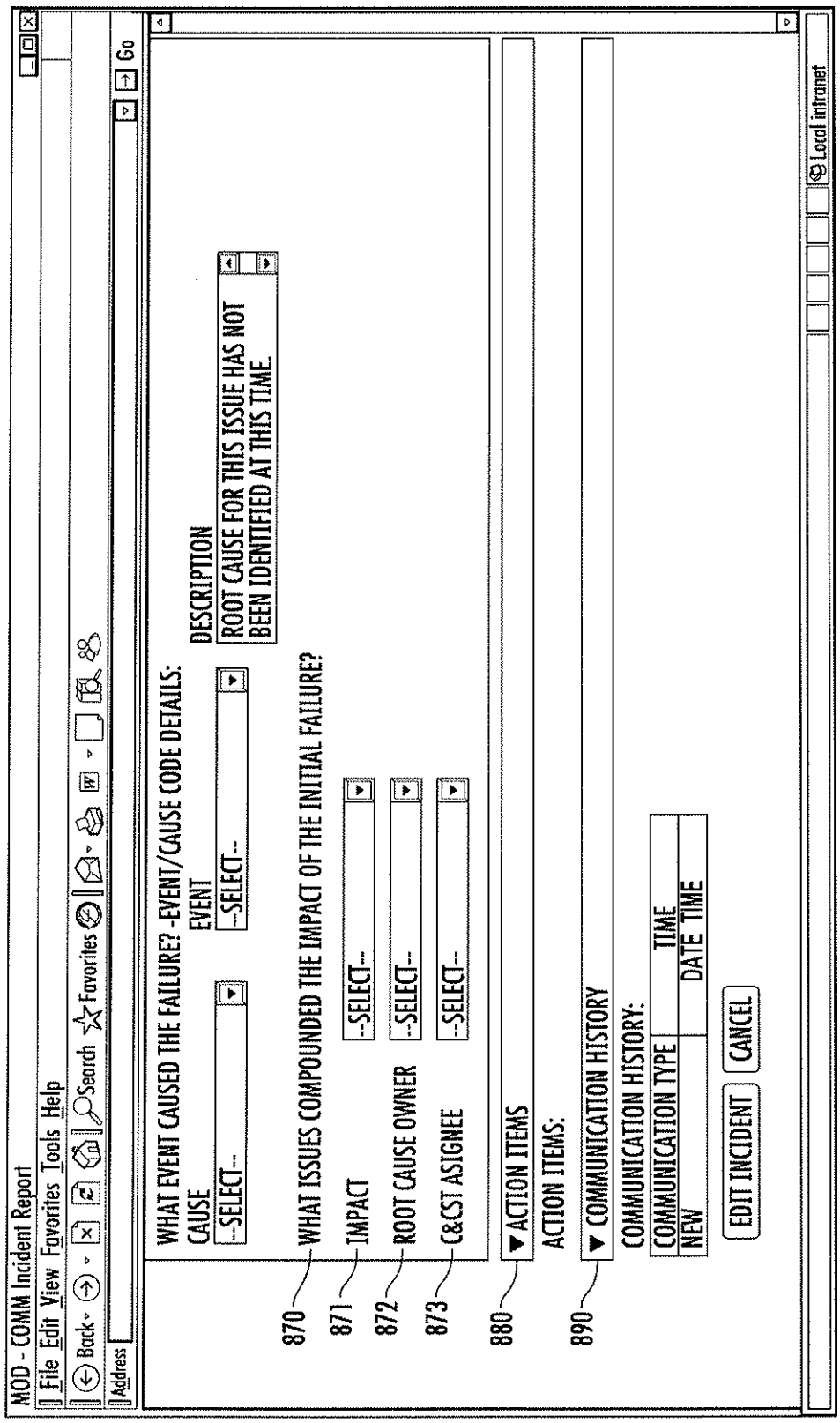

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Back
Search
Favorites
Address
Go
WHAT EVENT CAUSED THE FAILURE? -EVENT/CAUSE CODE DETAILS:
CAUSE
--SELECT--
EVENT
--SELECT--
DESCRIPTION
ROOT CAUSE FOR THIS ISSUE HAS NOT BEEN IDENTIFIED AT THIS TIME.
870 WHAT ISSUES COMPOUNDED THE IMPACT OF THE INITIAL FAILURE?
871 IMPACT --SELECT--
872 ROOT CAUSE OWNER --SELECT--
873 C&CST ASIGNEE --SELECT--
880 ▼ ACTION ITEMS
ACTION ITEMS:
890 ▼ COMMUNICATION HISTORY
COMMUNICATION HISTORY:
COMMUNICATION TYPE
TIME
NEW
DATE TIME
EDIT INCIDENT
CANCEL
Local intranet

FIG. 25

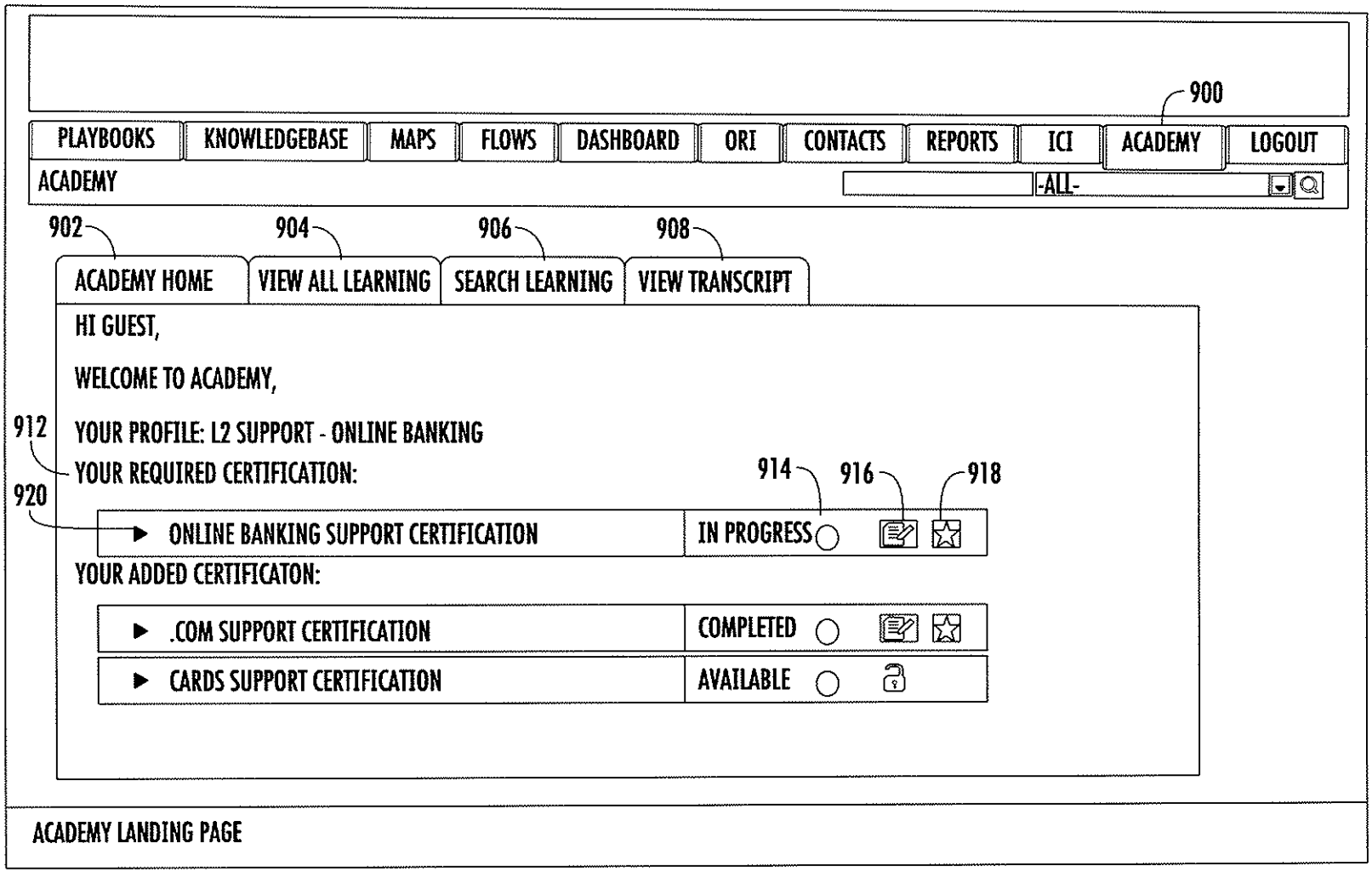

900
PLAYBOOKS
KNOWLEDGEBASE
MAPS
FLOWS
DASHBOARD
ORI
CONTACTS
REPORTS
ICI
ACADEMY
LOGOUT
ACADEMY
-ALL-
902
904
906
908
ACADEMY HOME
VIEW ALL LEARNING
SEARCH LEARNING
VIEW TRANSCRIPT
HI GUEST,
WELCOME TO ACADEMY,
912
YOUR PROFILE: L2 SUPPORT - ONLINE BANKING
YOUR REQUIRED CERTIFICATION:
914
916
918
920
ONLINE BANKING SUPPORT CERTIFICATION
IN PROGRESS
YOUR ADDED CERTIFICATON:
.COM SUPPORT CERTIFICATION
COMPLETED
CARDS SUPPORT CERTIFICATION
AVAILABLE
ACADEMY LANDING PAGE

FIG. 27