

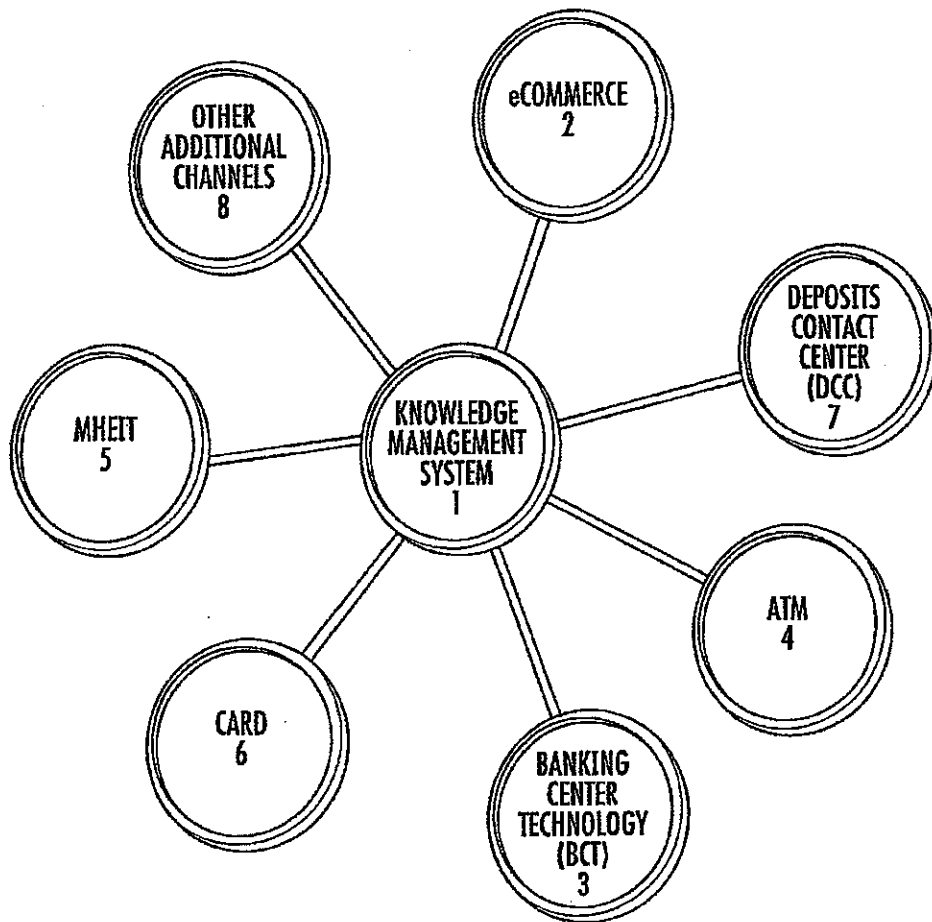


FIG. 1

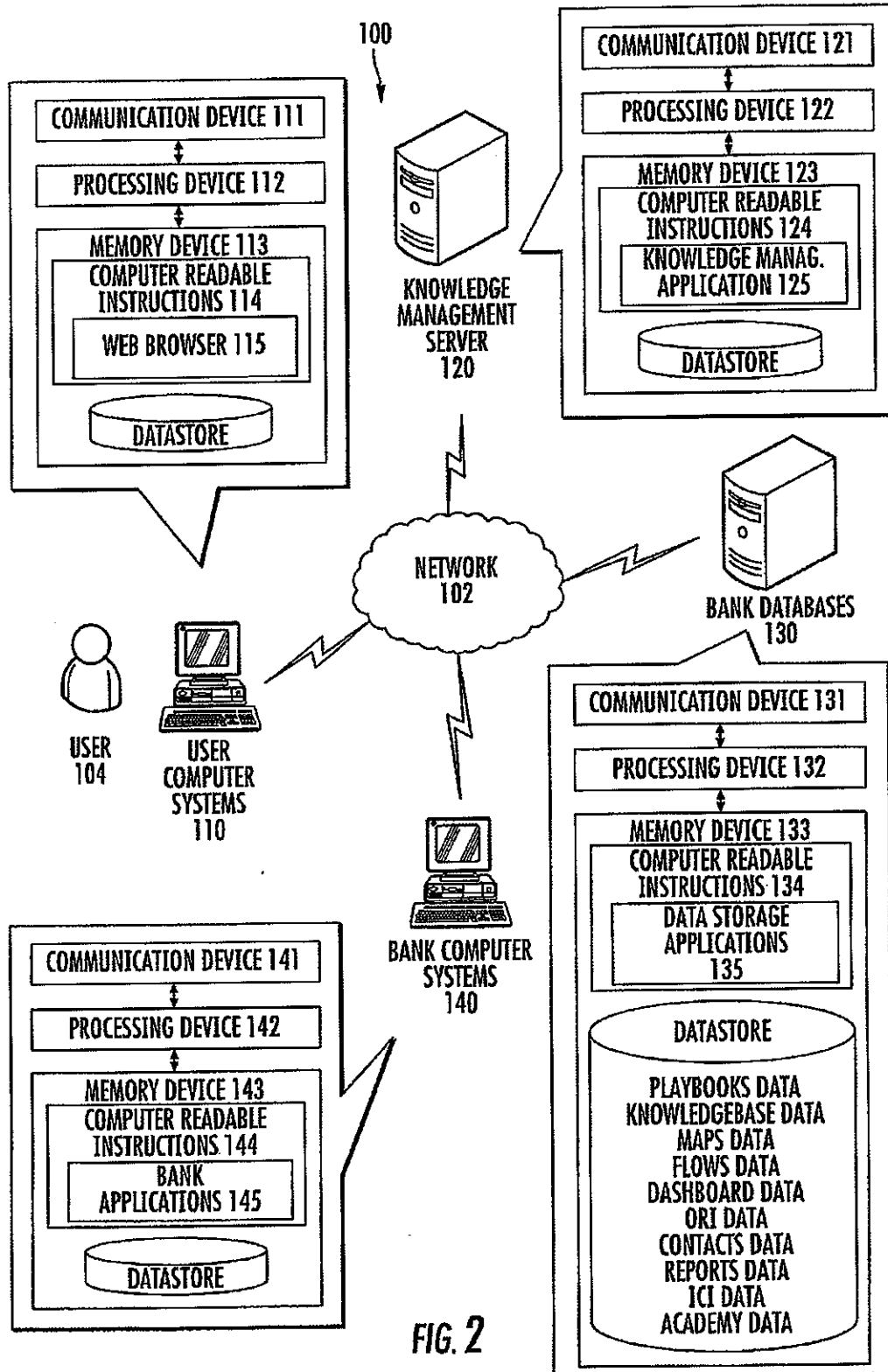


FIG. 2

FIG. 3

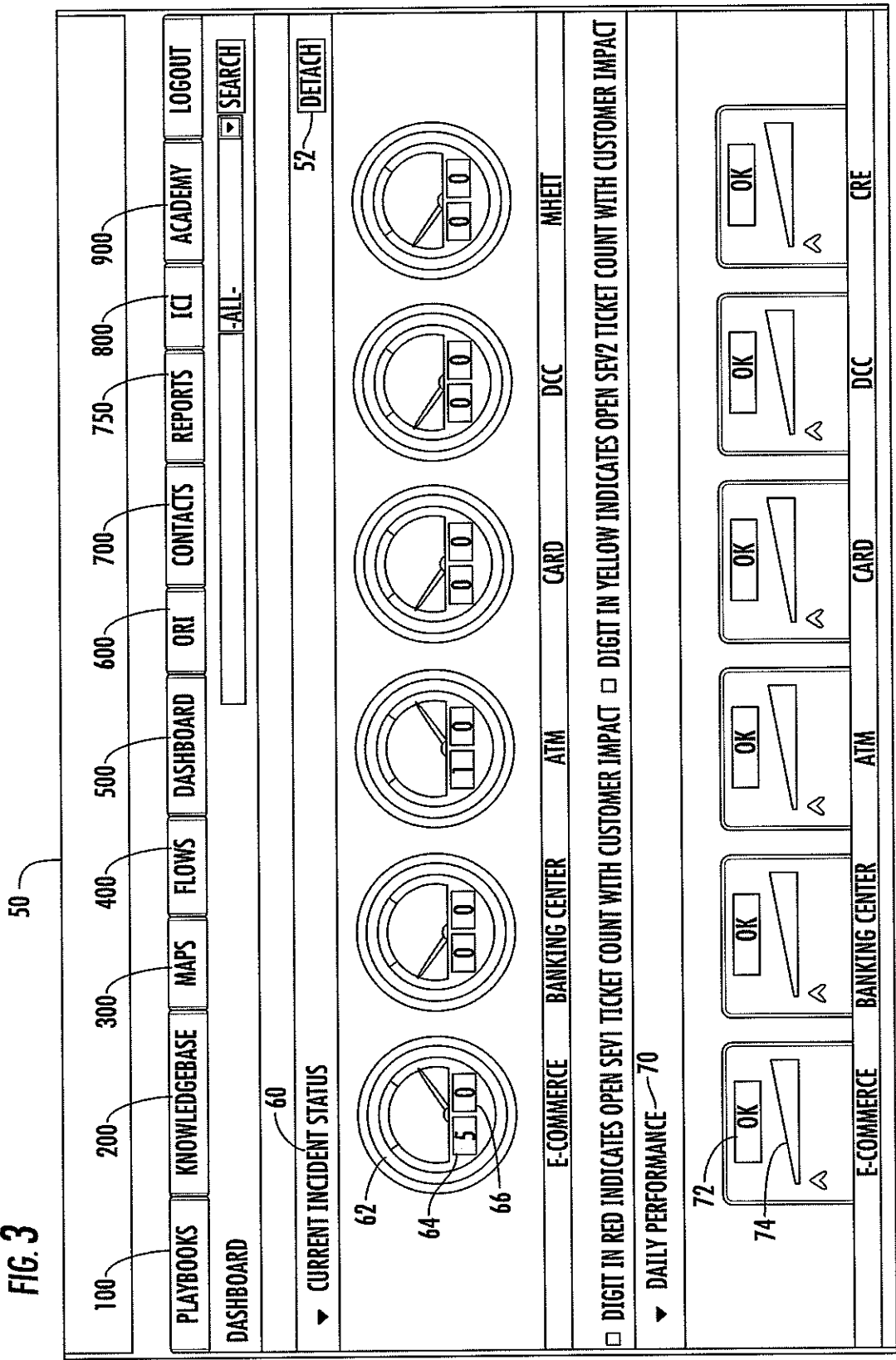
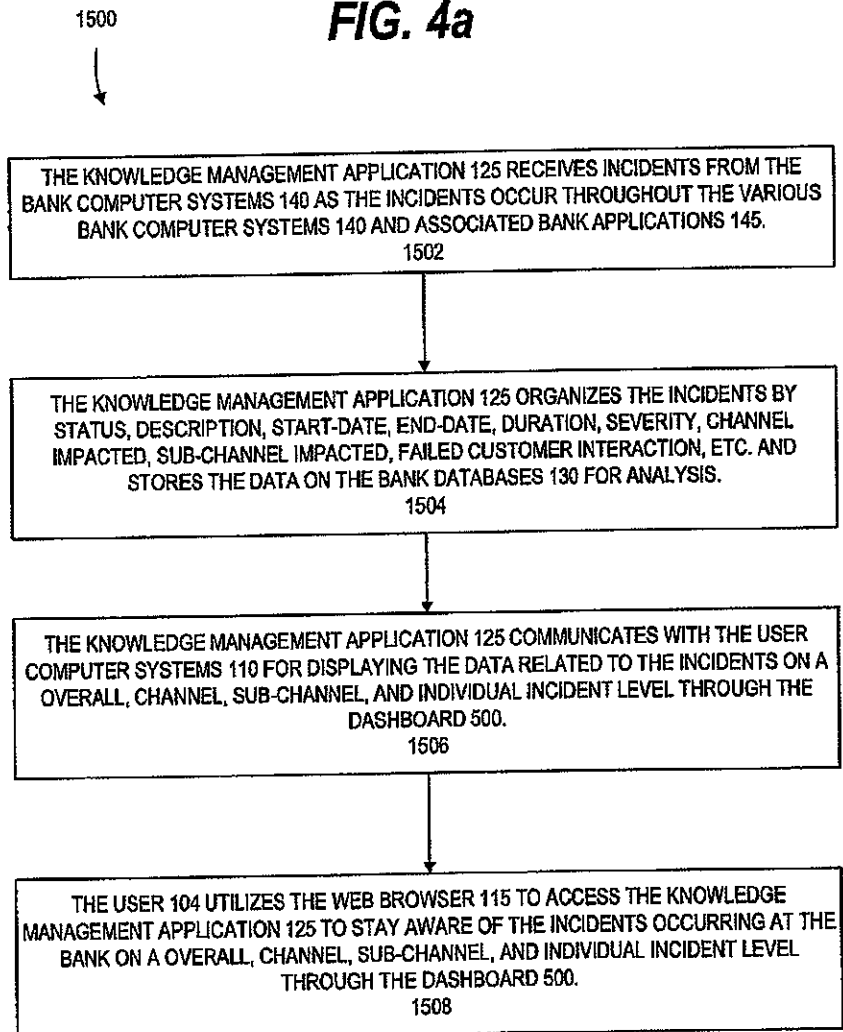


FIG. 4a

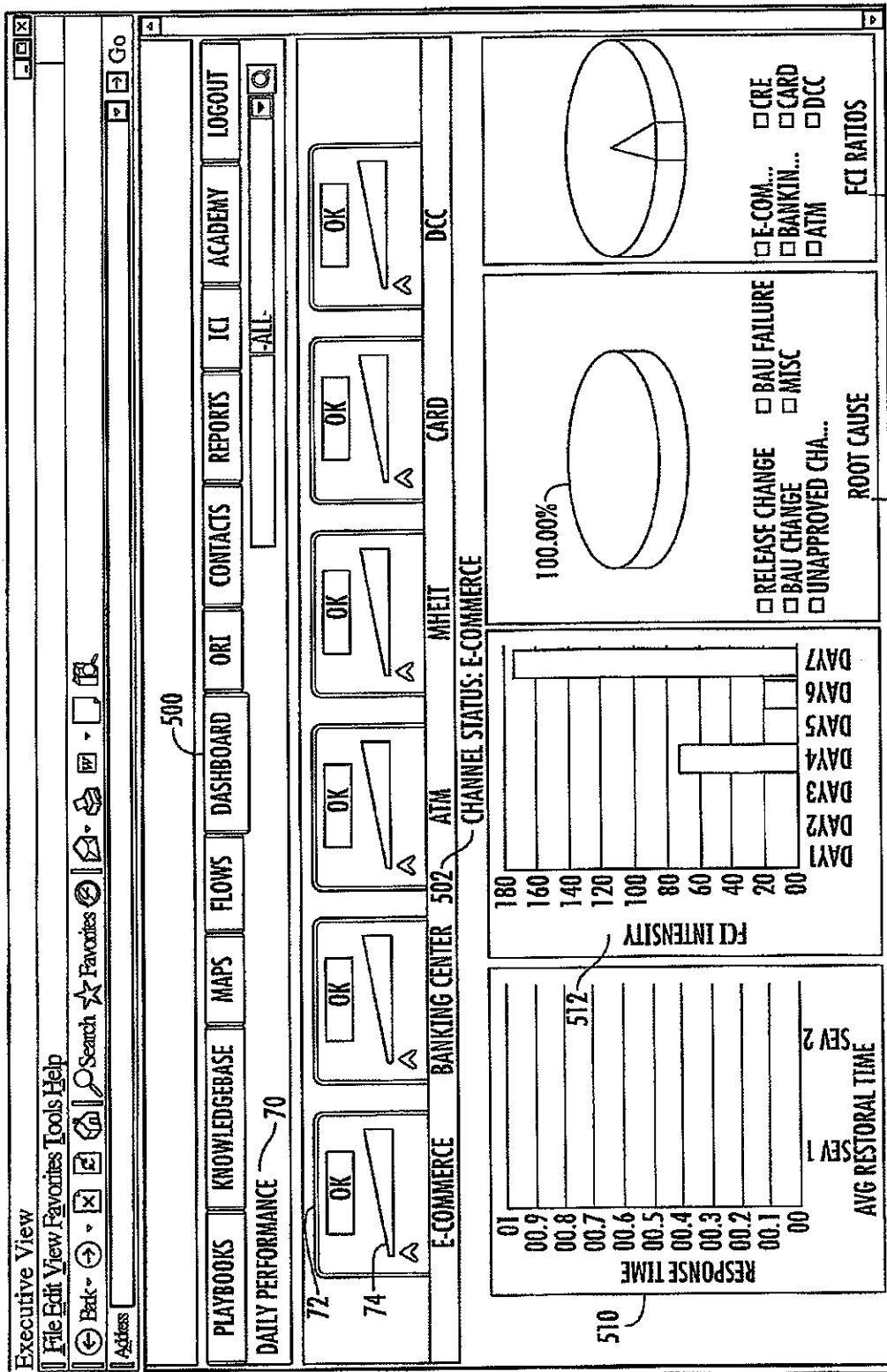


FIG. 4b

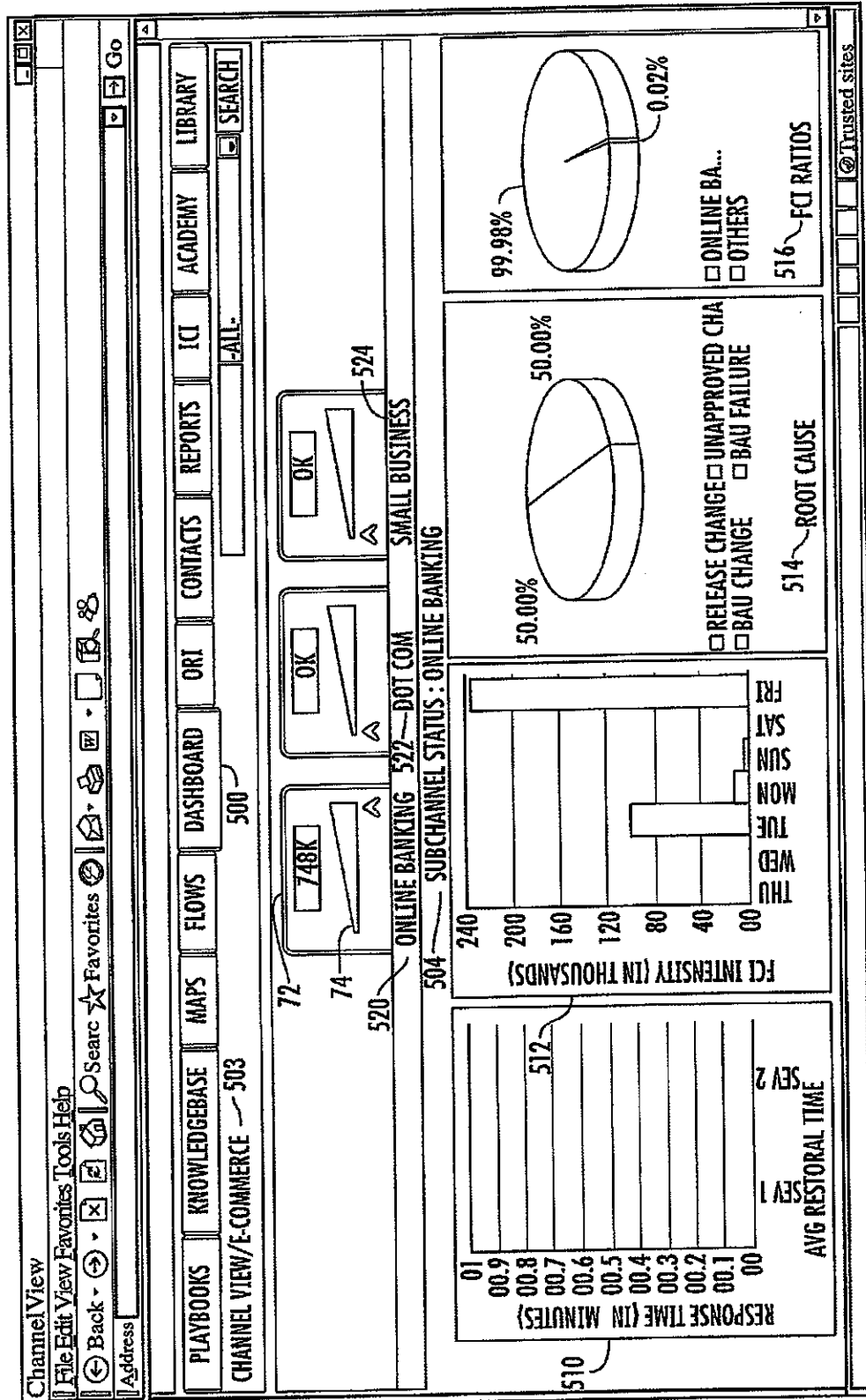


FIG. 5

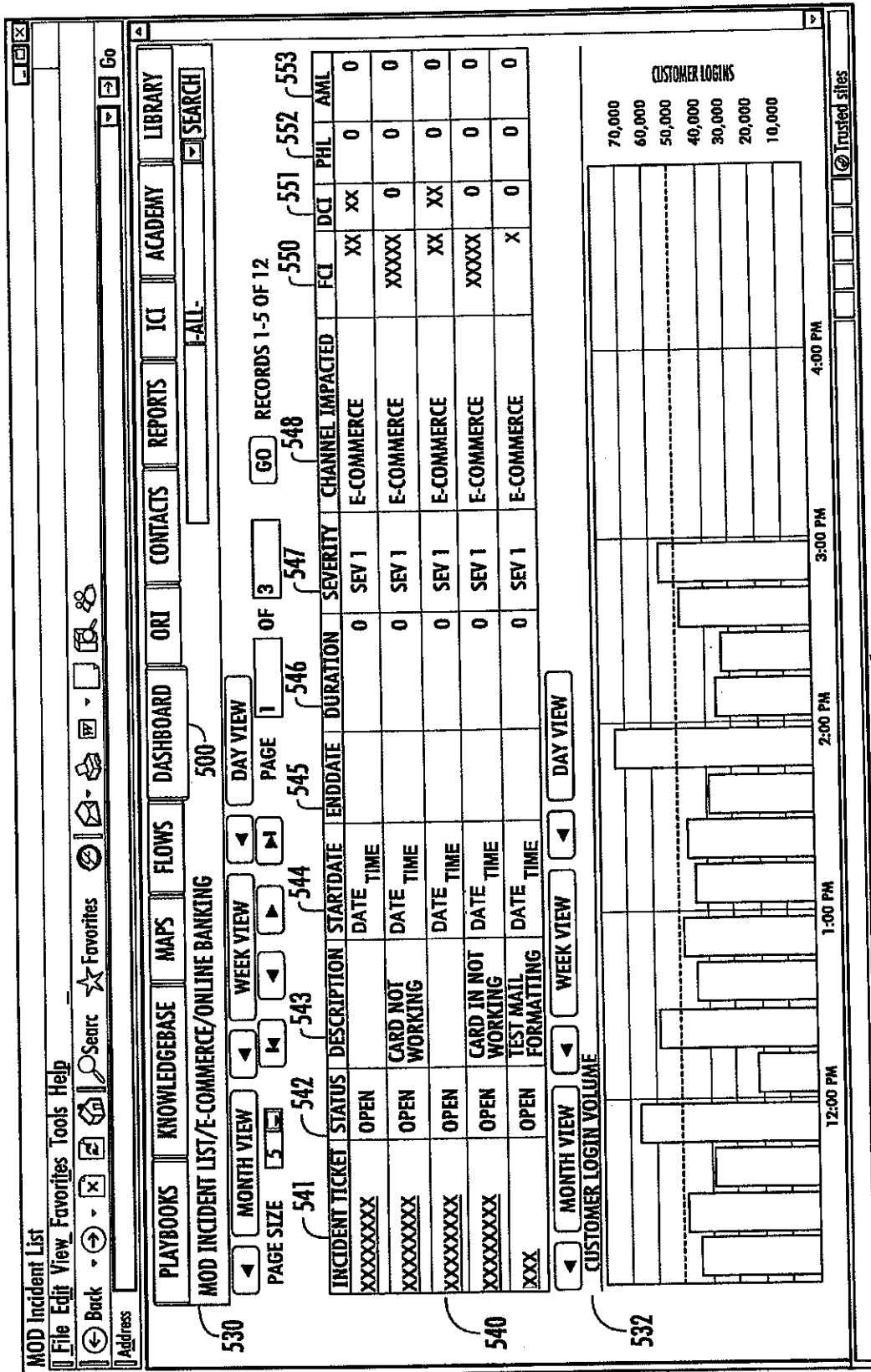


FIG. 6

Nitro Detail Report
 File Edit View Favorites Tools Help
 Back → → Search ☆ Favorites
 Address

PLAYBOOKS KNOWLEDGEBASE MAPS FLOWS DASHBOARD ORI CONTACTS REPORTS ICI ACADEMY LIBRARY

500 -ALL- SEARCH

DETAIL REPORT

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

564 WHERE DID FAILURE ORIGINATE? SYSTEM:
 WHAT EVENT CAUSED FAILURE? EVENT:
 WHAT ISSUES COMPOUNDED THE IMPACT OF THE INITIAL FAILURE? IMPACT:

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

572 573 574 550 551 552 553

580 RESTORAL CAUSE ISSUE IS ON GOING UNDER INVESTIGATION
 RESOLUTION

Trusted sites

FIG 7

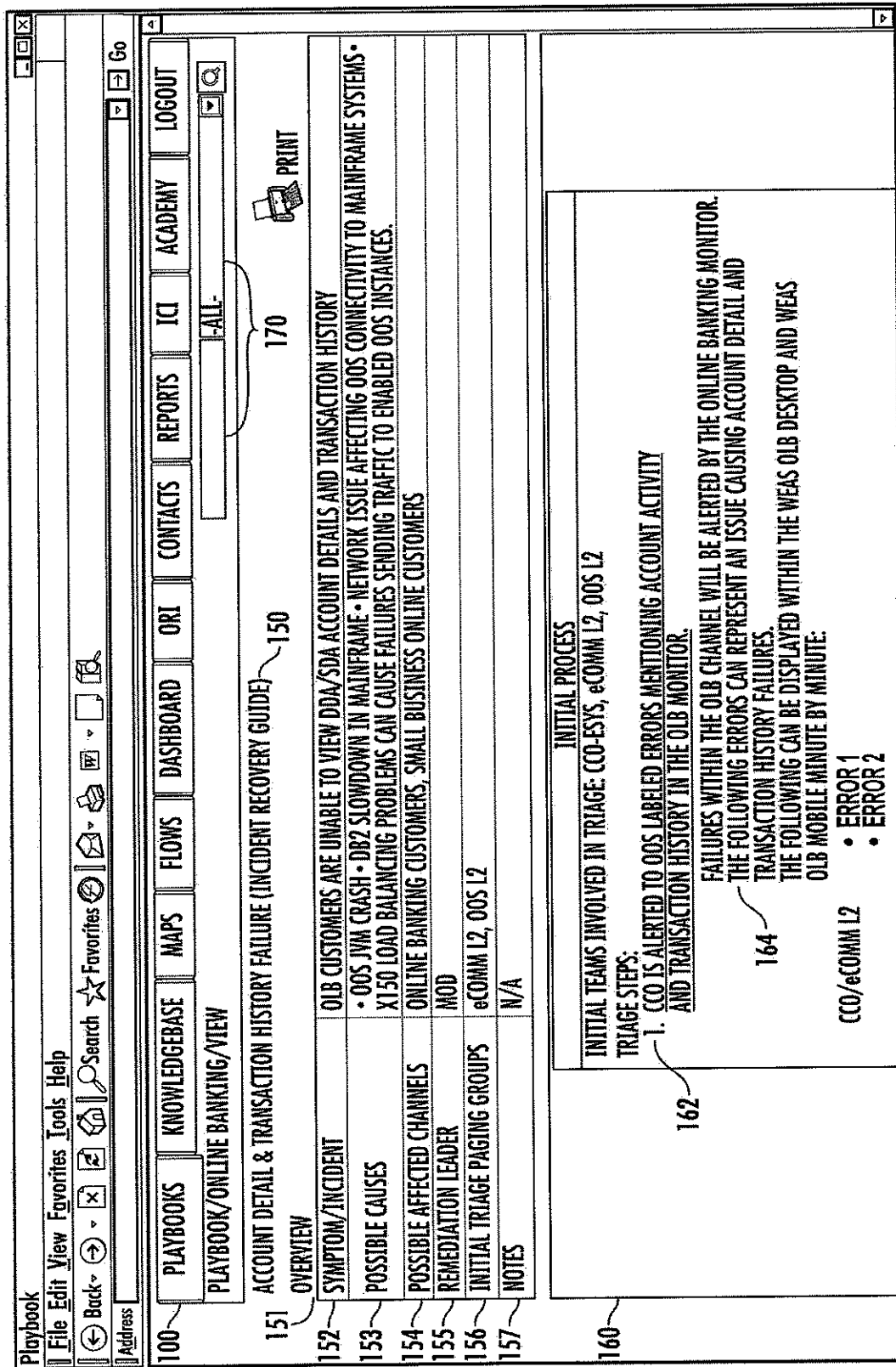


FIG. 8

Knowledge Base

File Edit View Favorites Tools Help

Back Forward Stop Search Favorites Address Go

PLAYBOOKS KNOWLEDGEBASE 200 MAPS FLOWS DASHBOARD ORI CONTACTS REPORTS ICI ACADEMY LOGOUT

KNOWLEDGEBASE 200 -ALL-

210 SEARCH 212 KEY WORD: NET 214 APPLICATION: 216 TICKET NUMBER: 218 DATE RANGE: 230 SEARCH CLEAR SEARCH ALL

PAGE SIZE 5 226 PAGE 1 OF 1 228 GO RECORDS 1-1 OF 1 232

INCIDENT TICKET	START DATE	END DATE	ISSUE DESCRIPTION	CAUSE	RESOLUTION
XXXXXXX 220	DATE 1, TIME 1 224	DATE 1, TIME 2 226	ONLINE BANKING MONITOR SHOWED THE NET ACCESS SUCCESS RATE TO BE 85% AFTER THE NET DROP WINDOW. THE NET DROP WINDOW WAS SCHEDULED FROM TIME 1 TO TIME 2 228	THE ROOT CAUSE OF THE ISSUE WAS IDENTIFIED TO BE RELATED TO THE NETDROP WINDOW. DURING THE MAINTENANCE ACTIVITY, THE JAVA VIRTUAL MACHINES (JVMs) WERE NOT RECYCLED PROPERLY WHICH CAUSED THIS ISSUE. 232	

FIG. 9

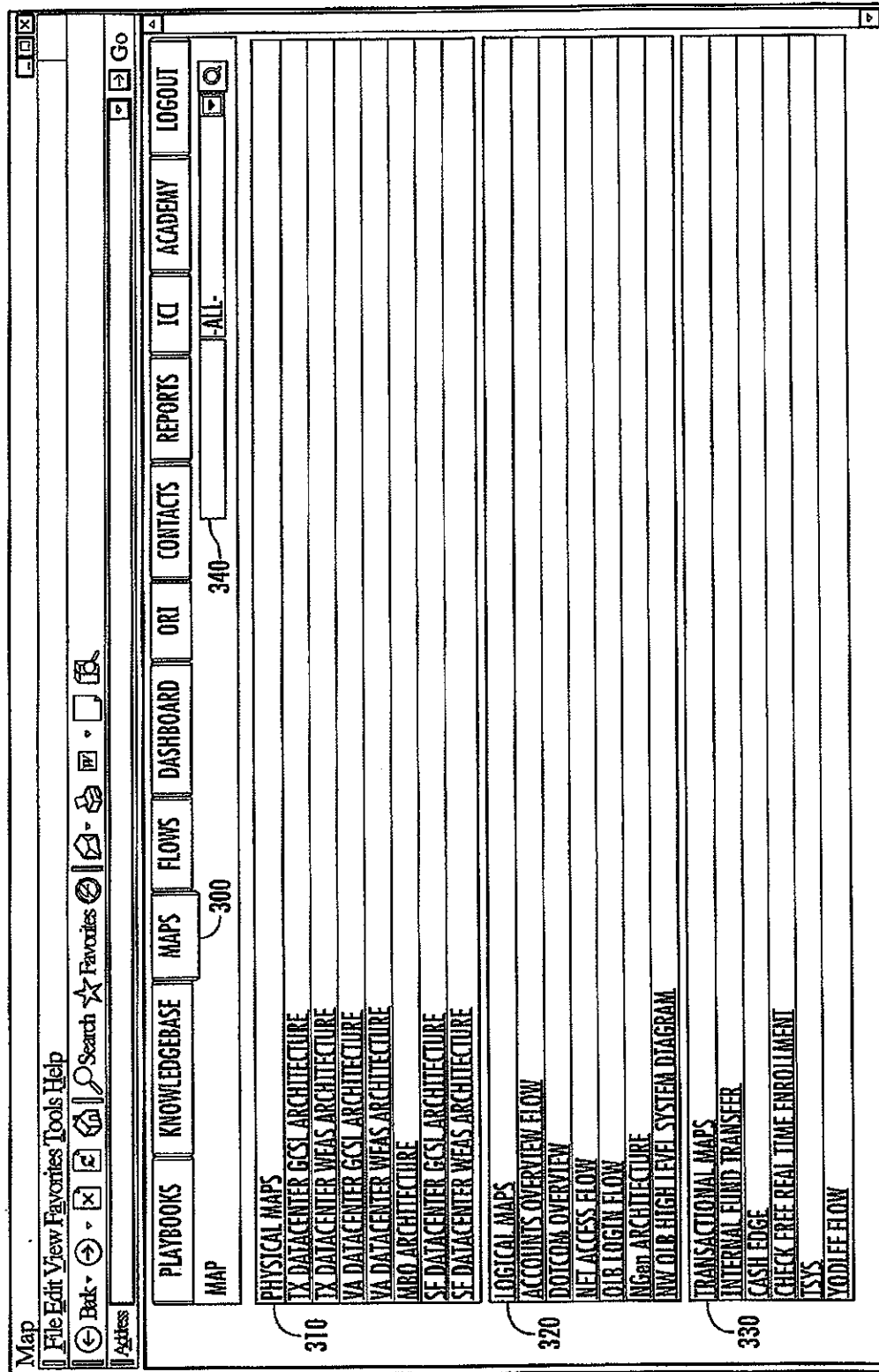
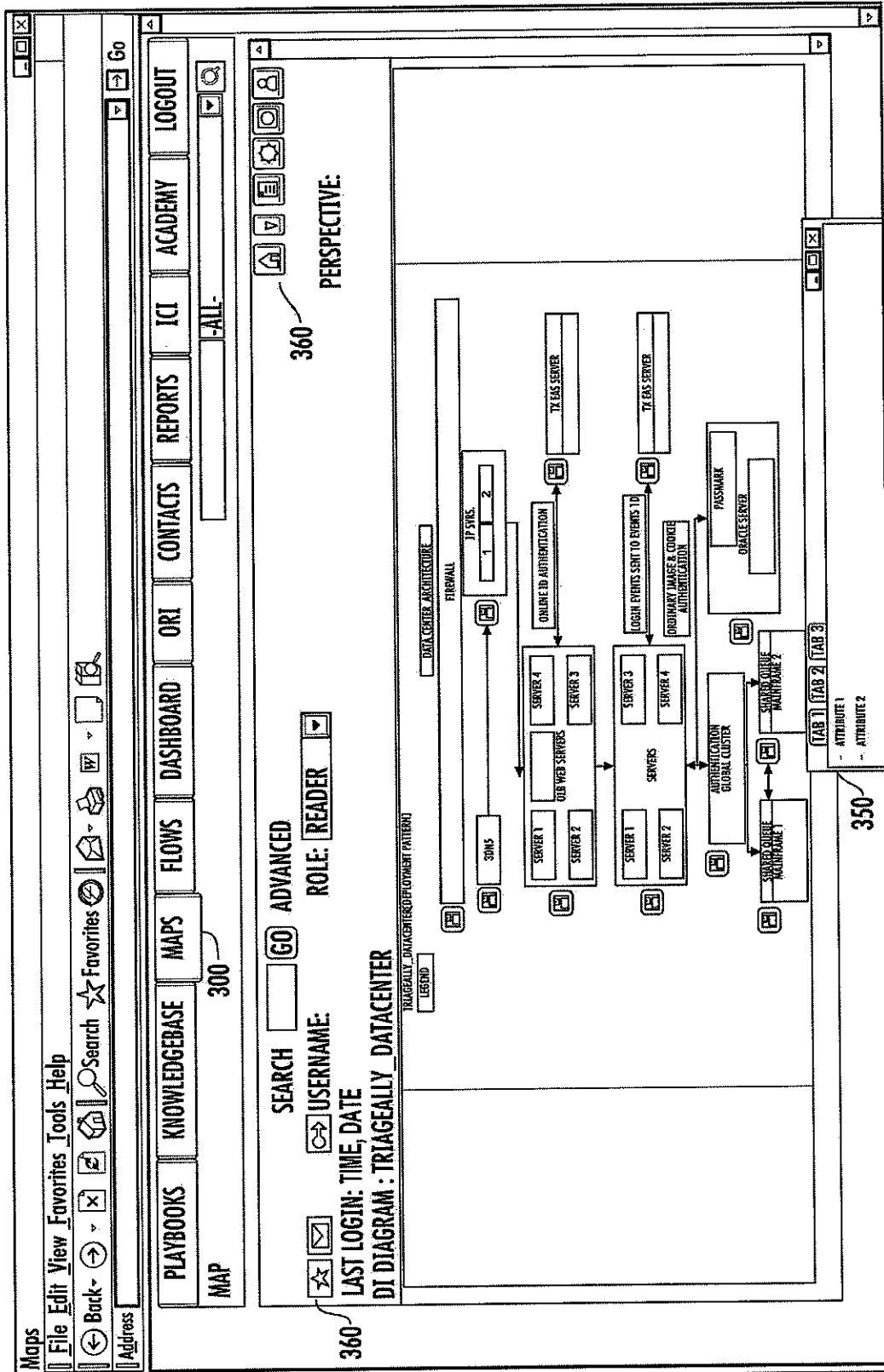
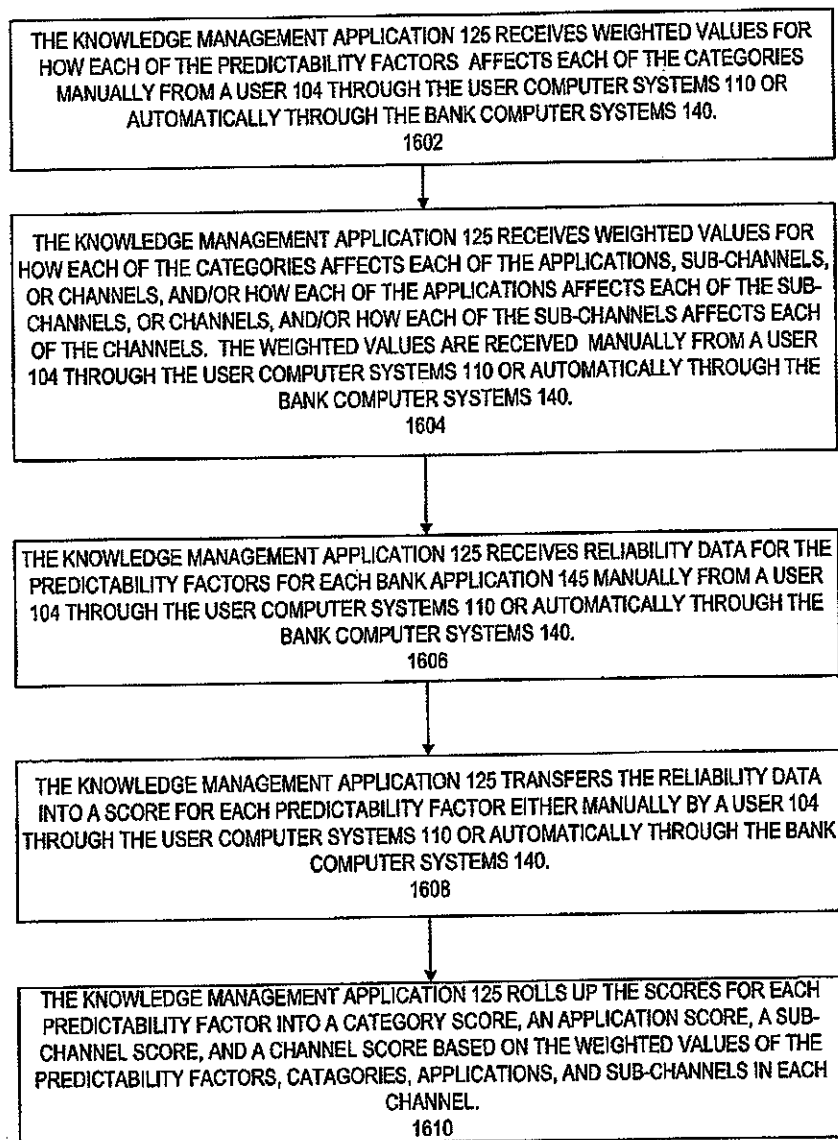


FIG. 10



1600

FIG. 13a

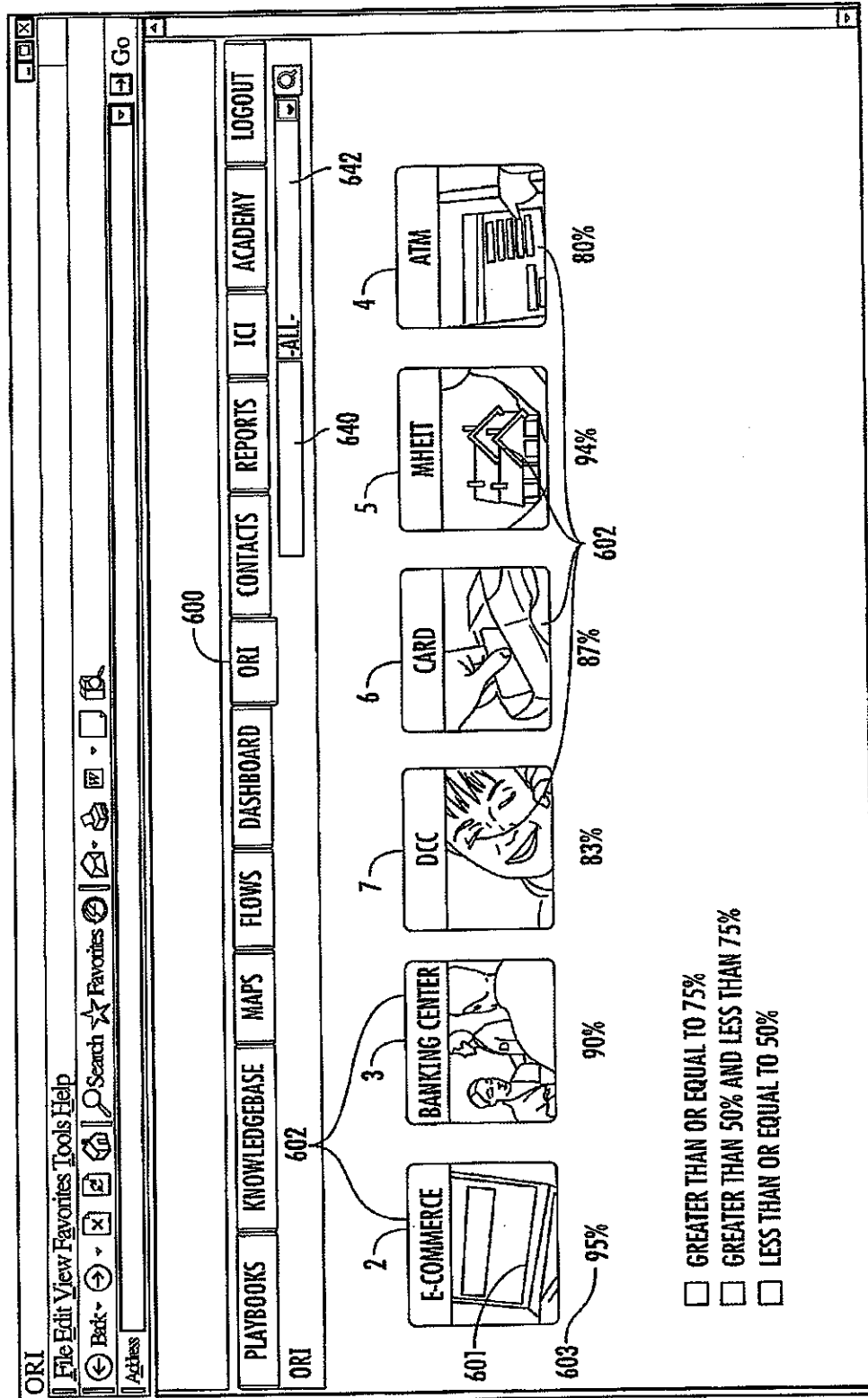


FIG. 13b

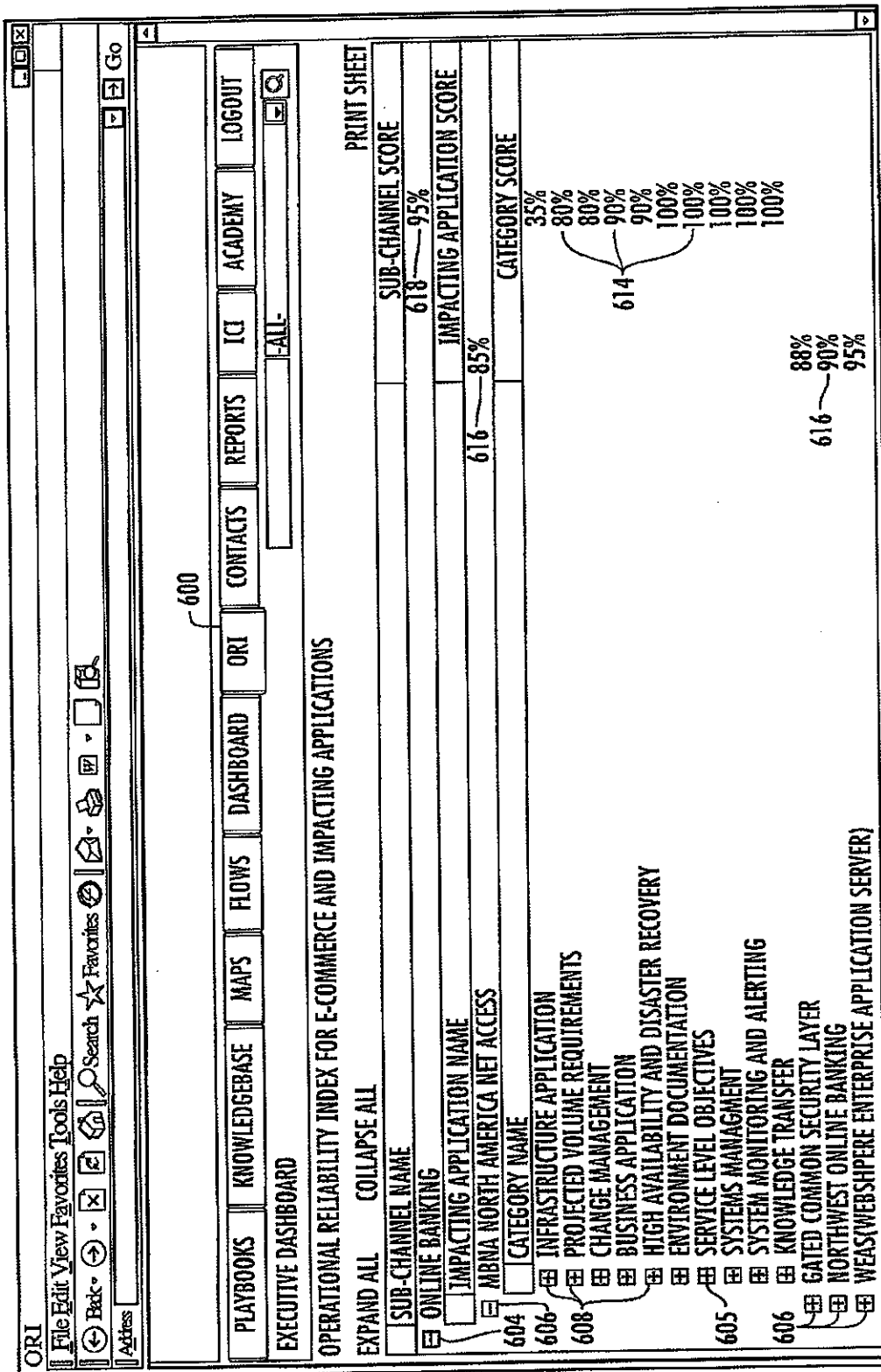


FIG. 14a

622

FIG. 14c

620

624

626

628

630

632

634

636

TRIAGE ALLY - OPERATIONAL RELIABILITY INDEX QUESTIONNAIRE

CATEGORY	FCI PREDICTABILITY FACTORS	ANSWER	SUB CATEGORY WEIGHTING	SOURCE	FORMAT	SCALE	CATEGORY WEIGHTING				
							E-COMM	BCT	DCC	CARD/MHETI	ATM
SERVICE CONTINUITY MANAGEMENT	BUSINESS CONTINUITY PLAN IN STANDARD FORMAT?		30%	AIT	YES/NO	NO=0%	10%	15%	20%	20%	20%
	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	HAS HANDOVER/TAKEOVER MEETING CONDUCTED WITH INITIAL TEAM?		10%	APPLICATION MANAGER	YES/NO	YES=10% NO=0%	5%	5%	5%	5%	5%
	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							

653

654

FIG. 14c

FIG 14e

622 OPERATIONAL RELIABILITY INDEX QUESTIONNAIRE

CATEGORY	FCI PREDICTABILITY FACTORS	ANSWER	SUB CATEGORY WEIGHTING	SOURCE	FORMAT	SCALE	CATEGORY WEIGHTING					
							E-COMM	BCT	IDC	CARD	INHEIT	ATM
							10%	10%	5%	5%	10%	10%
SERVICE LEVEL MANAGEMENT 657	DO SERVICE LEVEL AGREEMENTS EXIST BETWEEN LOB AND GTS&P?		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								
SYSTEMS MANAGEMENT 658	ARE THERE MECHANISMS IN PLACE TO MONITOR AND MEASURE ALL ITEMS IN EXISTING SLA'S?		5%	APPLICATION MANAGER								
	DO SLA'S HAVE CLEARLY IDENTIFIED KEY TARGETS FOR SERVICE HOURS, AVAILABILITY, RELIABILITY, SUPPORT, RESPONSE TIMES AND CHANGE HANDLING?		5%	APPLICATION MANAGER								
	ARE TOOLS AND PROCESSES IN PLACE TO AUTOMATE OR QUICKLY REACT TO CUSTOMER/AGENT IMPACTING EVENTS TO PROVIDE OPERATIONAL RELIEF?		35%	APPLICATION MANAGER				15%	10%	10%	10%	15%
	ARE COMPONENT BASED TECHNOLOGY MONITORING TOOLS AVAILABLE? EXAMPLE: INTROSPECT, PERFORM, NETSCOUT, SITESCOPE, MOQUE 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%

File Edit View Favorites Tools Help

Back Forward Stop Search Favorites

Address

Go

INCIDENT INFORMATION 751

752 TITLE: []

754 START DATE: [] 756 END DATE: []

DURATION: [] 763 SEVERITY: []

760 INCIDENT TICKET: [] 762 PROBLEM TICKET: []

764 STATUS: [] RESTORAL SLA MET: []

766 ROOT CAUSE OWNER: [] SHOW ON DAILY REPORT: []

768 C&ST ASSIGNEE: []

1 2 3 4

CONTINUE

HOME INITIATIVES ANALYTICS GLOBAL FUNCTIONS FEEDBACK CONTACT US ADMIN

Local intranet

FIG. 16

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 **SIA 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

791 **IMPACTED CHANNEL** 792 **IMP TECH EXEC** 793 **IMP SUB-CHANNEL** 794 **IMPACT INFORMATION** 795 **FCI** 796 **DCI** 797 **PHL** 798 **AML**

DCC **SESEE** **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

24/36

NOTIFICATION
CHANNEL

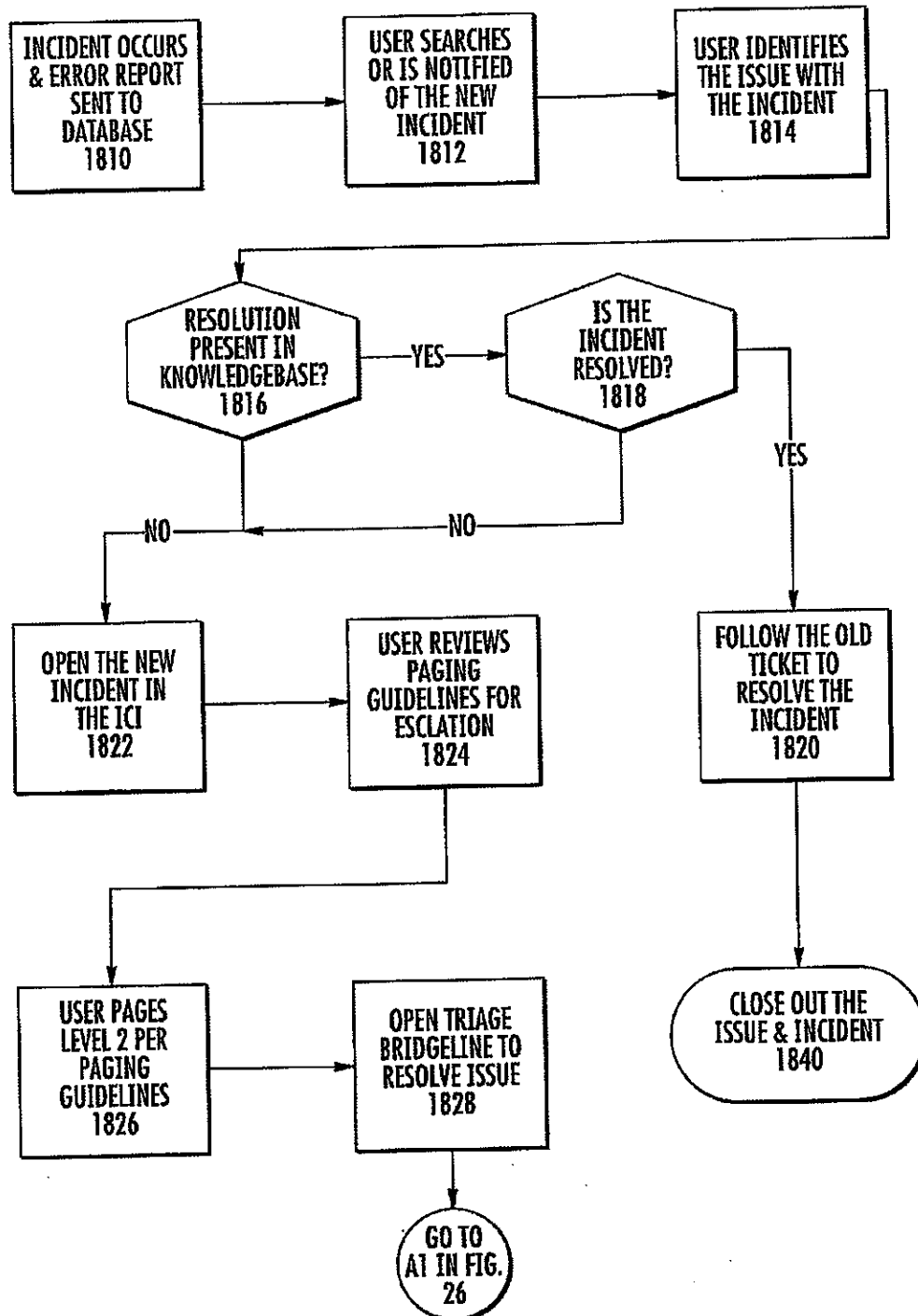


FIG. 18

ICI File Edit View Favorites Tools Help

Back Address Search Favorites

INCIDENT COMMUNICATIONS INTERFACE

800

802 SEARCH

DATE RANGE

PERIOD

SEVERITY

24 HOURS

SELECT

TICKET NO P

SEARCH

803

804 PAGE SIZE 5

807 PAGE 1 OF 7

808 RECORDS 1-5 OF 33

805

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

806

801 NEW INCIDENT

Local intranet

FIG. 19

MOD - COMMIncident Report

File Edit View Favorites Tools Help

Back

Forward

Stop

Home

Search

Favorites

Go

Address

MOD - COMM INCIDENT REPORT/VIEW

EDIT INCIDENT CANCEL

810 NOTE: DATE AND TIME ARE MENTIONED IN EASTERN TIME ZONE.

INCIDENT TICKET

811 PROBLEM TICKET:*

814 MASTER TICKET:

812 SEVERITY:*

815 CLIENT IMPACT:

809 STATUS:

PXXXXX

P IF AVAILABLE

SEVERITY2

PM IF AVAILABLE

OPEN

START TIME:*

L2 AWARENESS:

MOD ENGAGED:

RESTORED:

FINISHED:

DATE TIME

813 CLICK THE FOLLOWING BUTTONS TO INSERT THE RESPECTIVE TIMESTAMPS: START

816 L2 AWARENESS

817 MOD ENGAGED

818 RESTORED

819 CLOSE

820 LAST SEVERITY UPGRADE/DOWNGRADE DETAILS (IF ANY):

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 → → Go

Address

822 BRIEF DESCRIPTION:
CARD NOT WORKING

823 PROBLEM DESCRIPTION: *
CARD NOT WORKING

830 ARE CUSTOMERS/ASSOCIATES IMPACTED: * YES

831 INCIDENT IMPACT

☒ ECOMMERCE ☐ ATM ☐ BANKING CENTER ☐ DCC ☐ CARDS ☐ MHET ☐ SMALL BUSINESS ☐ GWIM ☐ GCIB ☐ OTHERS ☐ ALL

832 CLICK TO ENTER SUB CHANNEL IMPACT

ECOMMERCE

FCIs

XXXX

DCIs

0

833 FCI-DCI BREAKOUT:
CONSUMER FCIs - XXXX, CONSUMER DCIs - 0, SMALL BUSINESS FCIs - 0, MILITARY BANKING ONLINE FCIs - 0, MILITARY BANKING ONLINE DCIs - 0

834 AFFECTED APPLICATION/FUNCTIONALITY:
E-STATEMENT ERRORS

835 CUSTOMER EXPERIENCE:
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

Back Forward Stop Search Favorites Address Go

SOME CUSTOMERS WILL NOT BE ABLE TO ACCESS THEIR E-STATEMENTS.

836 GEOGRAPHICAL LOCATION --SELECT--

837 TOTAL INCIDENT IMPACT

FCIs XXXXX

DCIs 0

AML 0

PHIL 0

840 GET TOTAL

▼ DESCRIPTION

841 COMMDETAILS UPDATE# 1 DESCRIPTION

842 COMMDETAILS INCIDENTDETAILS

843 EDIT DELETE NEW ADD NEW COMMUNICATION

844 WORK AROUND: 832

NO WORK AROUND AVAILABLE

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

Back Forward Stop Search Favorites Address Go

Address

845 ROOT CAUSE DESCRIPTION:
846 UNDER INVESTIGATION

847 CHANGE NUMBER ASSOCIATED (IF ANY): RFC# 0

848 INCIDENT DURATION: 0 HOURS 0 MINUTES

850 LINK TO SERVICE CENTER TICKET
MANAGER ON DUTY CONTACT# TELEPHONE NUMBER 1

▼ 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

Back Home Search Favorites Go

Address

PERMANENT RESOLUTION:

854 WHAT TOOLS DID YOU USE TO TRIAGE THIS ISSUE?

855 PLAY BOOK DETAILS:

856 KNOWLEDGE BASE:

857 ATTACH FILES IF ANY:

860

861 CASUAL/FAILURE DETAILS:

862 WHERE DID THE FAILURE ORIGINATE? - SYSTEM:

863 INITIAL POINT OF FAILURE

866 WHAT EVENT CAUSED THE FAILURE? - EVENT/CAUSE CODE DETAILS:

867 CAUSE

865 FINAL POINT OF FAILURE

869 DESCRIPTION

ROOT CAUSE FOR THIS ISSUE HAS NOT BEEN IDENTIFIED AT THIS TIME

Local intranet

FIG. 24

MOD - COMM Incident Report

File Edit View Favorites Tools Help

Back Forward Stop Search Favorites

Address

Go

Local intranet

WHAT EVENT CAUSED THE FAILURE? - EVENT/CAUSE CODE DETAILS:

CAUSE

EVENT

DESCRIPTION
ROOT CAUSE FOR THIS ISSUE HAS NOT BEEN IDENTIFIED AT THIS TIME.

WHAT ISSUES COMPOUNDED THE IMPACT OF THE INITIAL FAILURE?

870

871 IMPACT

872 ROOT CAUSE OWNER

873 C&CST ASIGNEE

880 ACTION ITEMS

ACTION ITEMS:

890 COMMUNICATION HISTORY

COMMUNICATION HISTORY:

COMMUNICATION TYPE	TIME	DATE	TIME
NEW			

EDIT INCIDENT CANCEL

FIG. 25

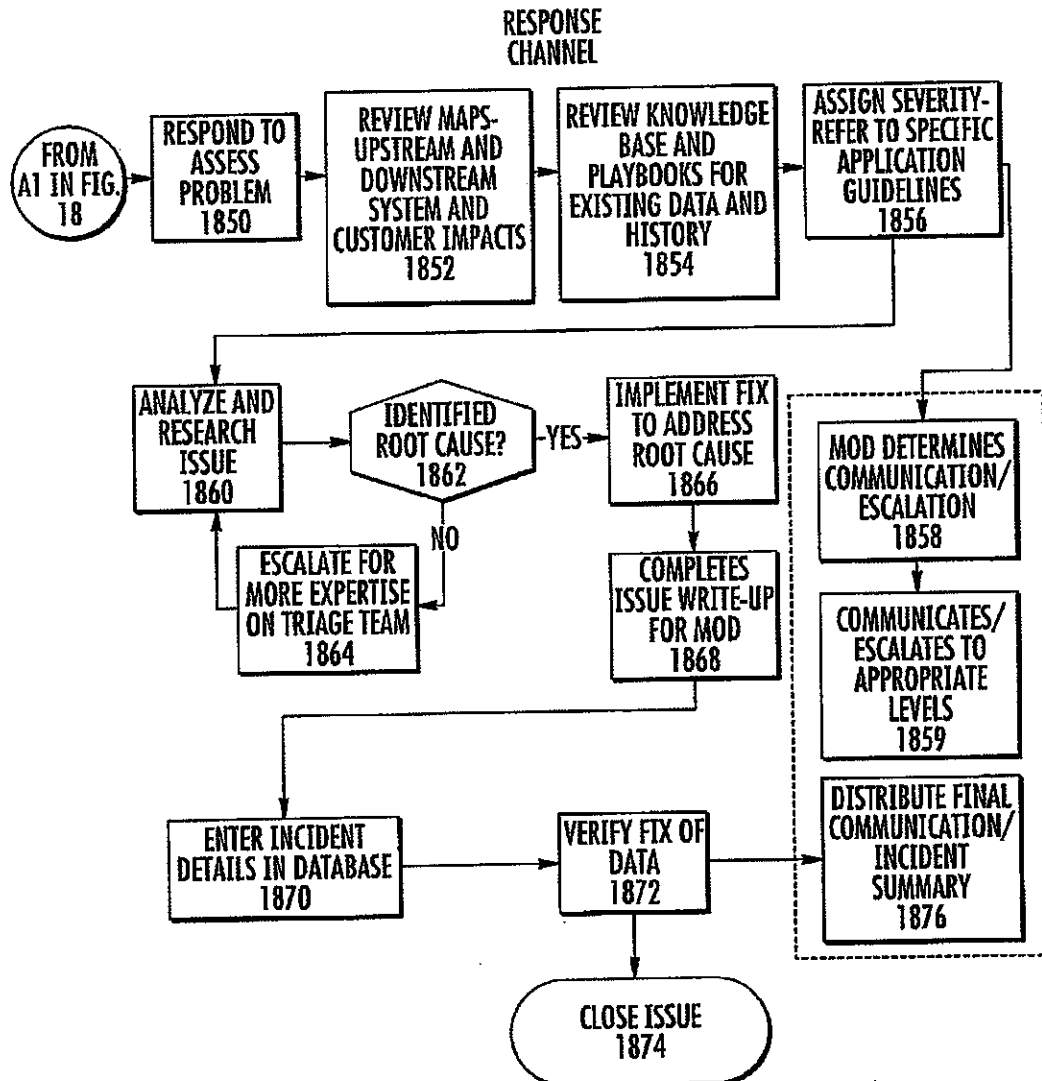


FIG. 26

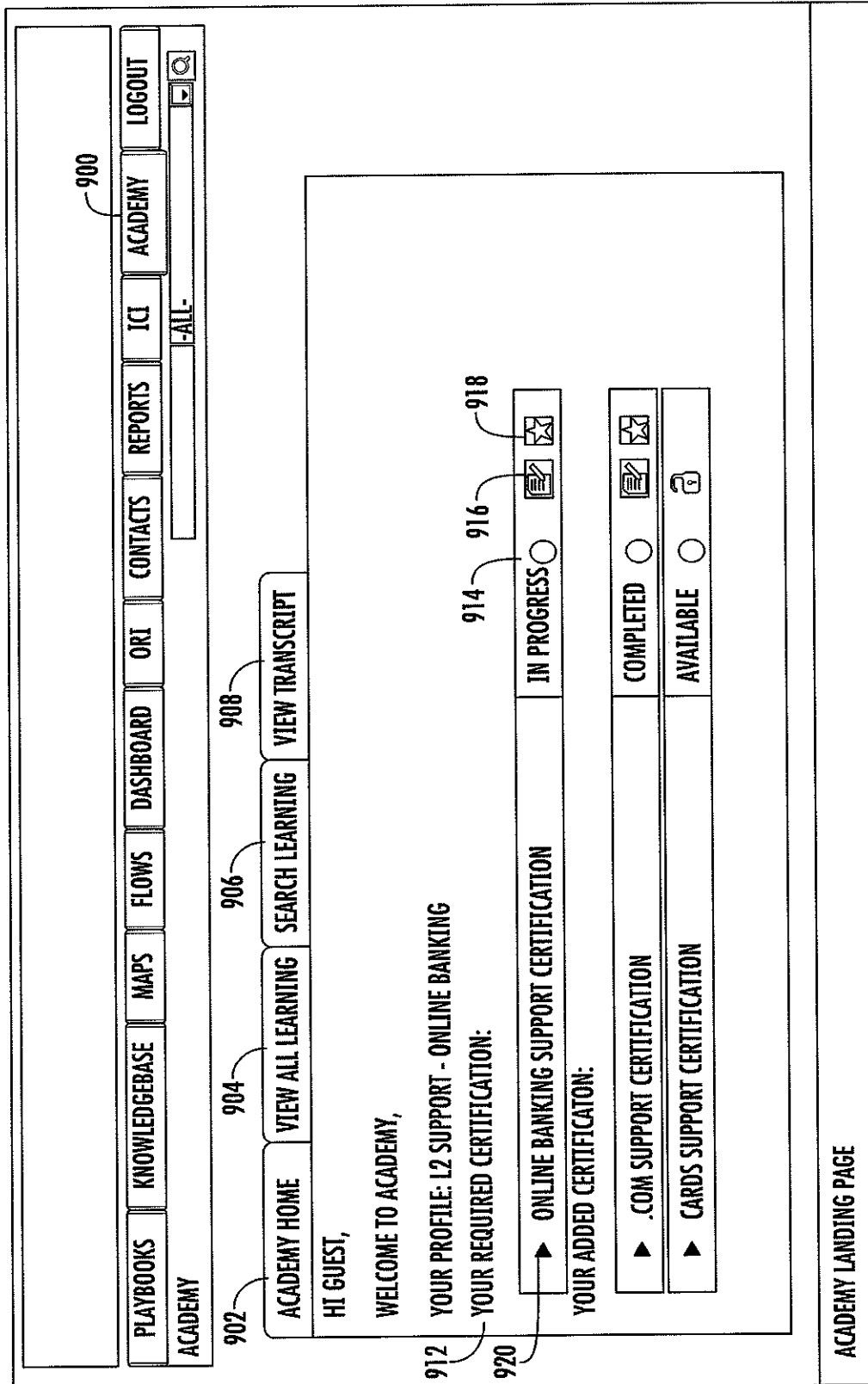


FIG. 27

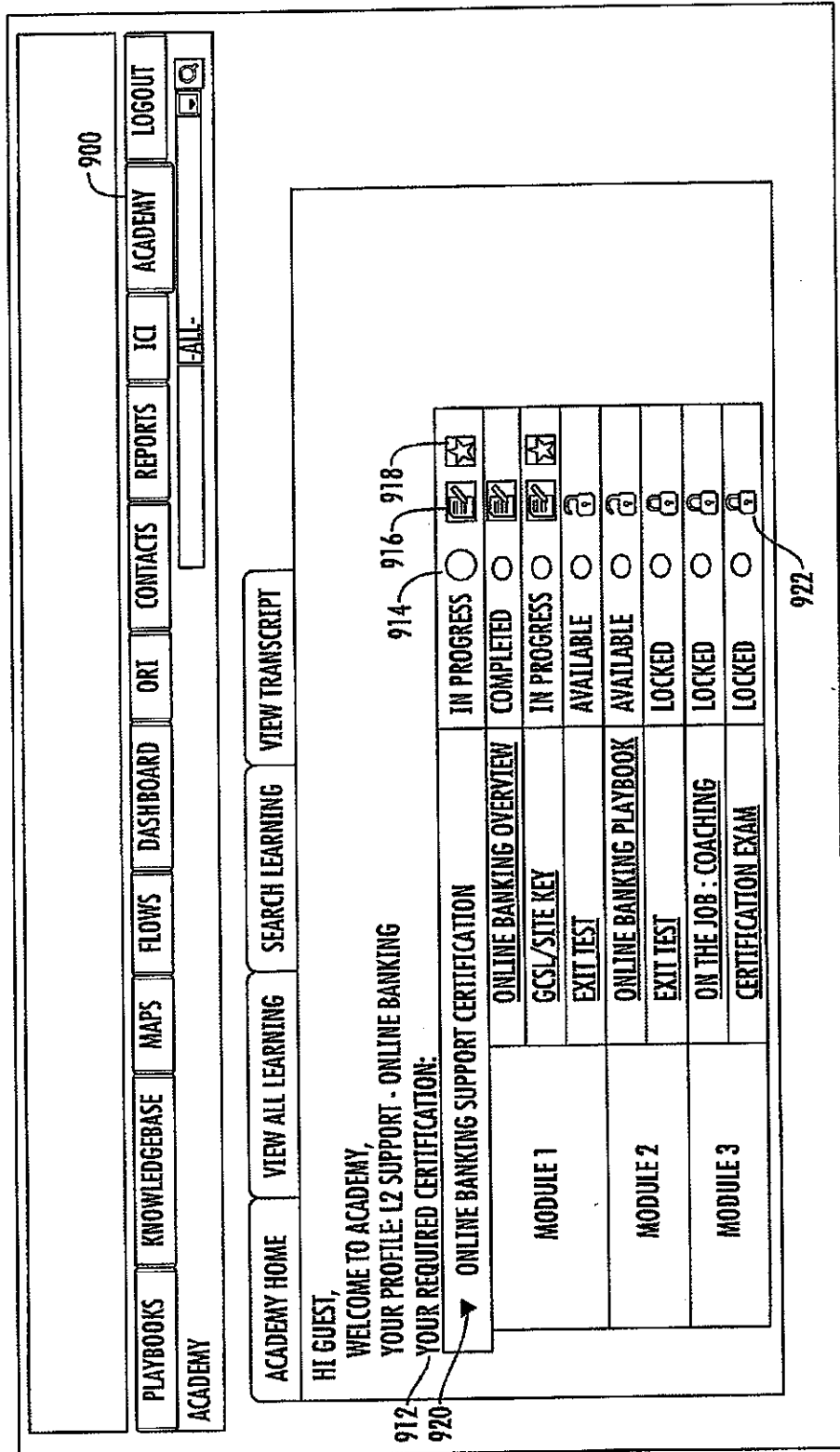


FIG. 28

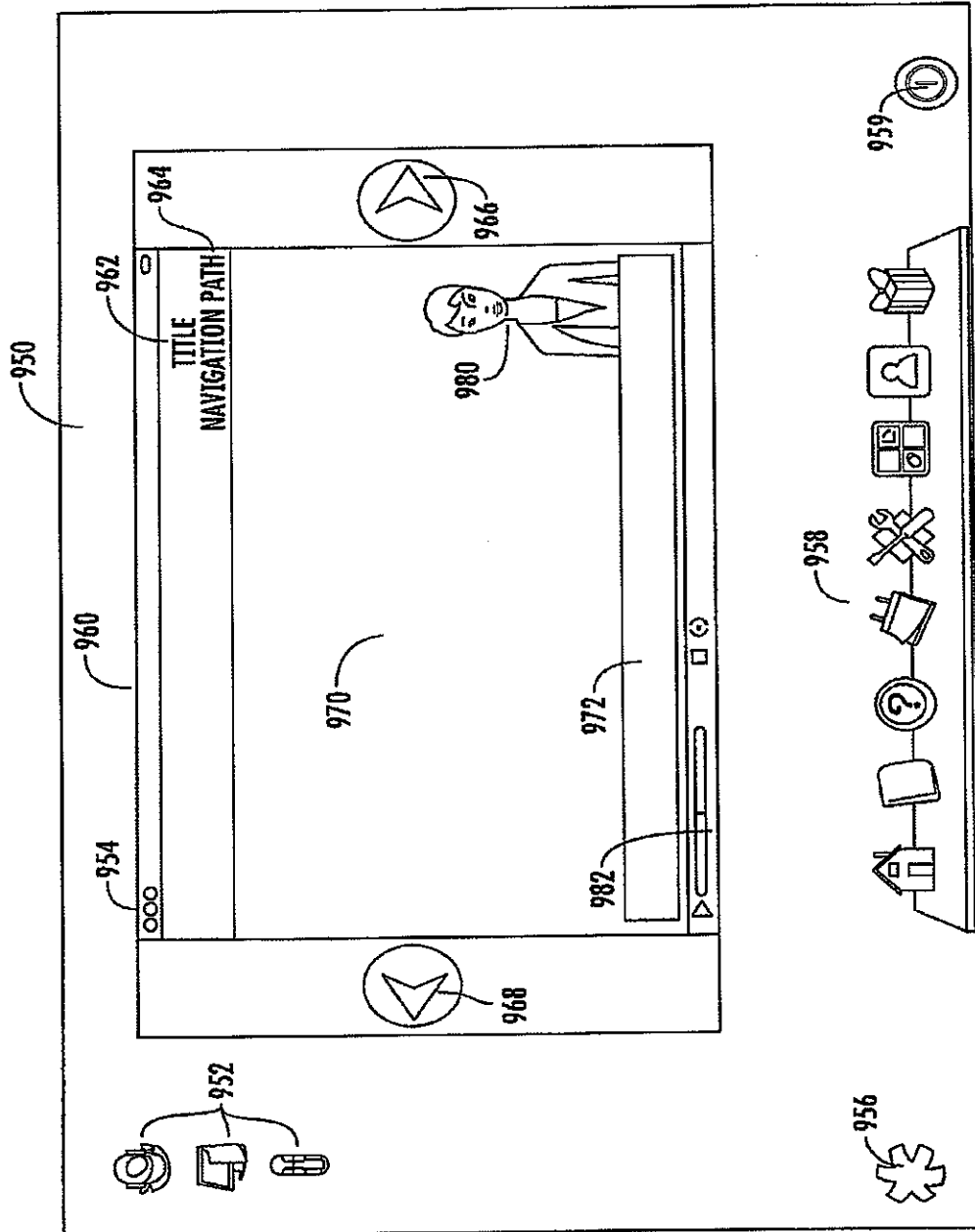


FIG. 29

1900

**FIG. 30**