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| **Interview Protocol** | |
| Interviewee:  ***Application Team Member*** | Interviewer:  *Kieran Branigan* |
| Location/Medium:  *Zoom* | Appointment Date:09/05/2021  Start time: 11:02  End Time: 11:15 |
| Objectives: Understand which features are required for the new system for the application team  *What data is being collected: Information about the current systems advantages and disadvantages*  *What areas to explore: The application teams' day to day function and requirements for the system* | Reminders:  *Role/Background/experience of interviewee*  *Ask about recording the interview for later review* |
| Agenda:  *Introduction*  *Background on project*  *Interview overview (format/what can they expect)*  *Topics to be covered*  *Permission to record*  *Topic 1 Questions*  *Topic 2 Questions*  *Summary of major points*  *Closing* | Approximate Time:  *1 minute*  *1 minute*  *1 minute*  *1 minute*  *4 minutes*  *4 minutes*  *2 minutes*  *1 minute* |
| General Observations:  Objectives completed, the requirements of the application system for the new team were well described and clear. Current positive and negative features were noted and the applications teams' daily interactions were well explained | |
| Unresolved issues/topics not covered:  N/A | |
| **Questions** | **Answer (Notes)** |
| Question 1  Could you please explain in detail the process you perform as part of your job role? | * Responsible for the functionality of applications * Agree on the resiliency requirements with the customers * Create the technology recovery action plan * Execute technology refresh projects * Discuss results of resiliency tests with customers |
| Question 2  What system do you currently have in place and how would you interact with them on a day-to-day basis? | * Varies day to day * Log in * Keep and access records of problems with applications * Assign team members to operate a part of an application * Access details as to whose working on which task, application name, RTO the primary and alternative location and to manage or remove the TRAP document |
| Question 3  What features of the current system do you like and why? | * Being able to easily find application reports and all of their associated details * Easy access to testing records |
| Question 4  What features of the current system make your job more difficult and why? | * The system works but is missing some features such as a report showing the status of testing compliance |
| Question 5  Are there any integral parts of the current system that you need to use to help with your job? | * The reports feature |
| Improvised Questions  Are there any tasks you perform very rarely, such as once a year?  Are there any areas of the current system that feel especially outdated? | * Indication of a material change on an application entry, due to the cascading effect the changes have * Run reports in the resilience management system for all applications * The ability to get an indication and/or notification when there is a material change in an application entry would be useful as it is not currently included |

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| **Interview Protocol** | |
| Interviewee:  ***Operate Team Member*** | Interviewer:  ***Joe Moore*** |
| Location/Medium:  *Zoom* | Appointment Date: 09/05/2021  Start time: 12:01  End Time: 12:07 |
| **Objectives:** Understand which features are required for the new system for the operate team.  ***What data is being collected:*** *Information about the current systems advantages and disadvantages.*  ***What areas to explore:*** *The operate teams' day to day function and requirements for the system* | **Reminders:**  *Role/Background/experience of interviewee.*  *Ask about recording the interview for later review.* |
| **Agenda:**  *Introduction*  *Background on project*  *Interview overview (format/what can they expect)*  *Topics to be covered.*  *Permission to record.*  *Topic 1 Questions*  *Topic 2 Questions*  *Summary of major points*  *Closing* | **Approximate Time:**  *1 minute*  *1 minute*  *1 minute*  *1 minute*  *4 minutes*  *4 minutes*  *2 minutes*  *1 minute* |
| **General Observations:**  The objectives were met and we found out about the current system they use. Mostly all questions were answered clearly and gave us good information to work with. | |
| **Unresolved issues/topics not covered:**  Question 5, didn’t completely understand the question. However, we found out that the reporting functionality was an integral part of the system for the operate team. | |
| **Questions** | **Answer (Notes)** |
| Question 1  Could you please explain in detail the process you perform as part of your job role? | * Handle the testing for the applications. (Centralized system) * Scheduling the tests. * Recording the details * Approval of TRAP documents |
| Question 2  What systems do you currently have in place and how would you interact with them on a day-to-day basis? | * One centralised system * Reports are taken from somewhere else. Would be nice to have it on the same system. * Would like everything to centralised. * Currently stores information about the application itself. |
| Question 3  What features of the current system do you like and why? | * What you need Is there; provides all the information about the application, with all the different components. |
| Question 4  What features of the current system make your job more difficult and why? | * Outdated. * Bad User Interface. * Unless you know what, you're looking for you aren't going to find it. |
| Question 5  Are there any integral parts of the current system that you need to use to help with your job? | * Reporting Functionality * Especially for compliance (applications that have successful tests or not) |
| Improvised Questions  Do you feel any areas in the system are outdated other than the ones you have mentioned? | * Performance, because the system has a lot of complexity. Everything is related and huge, a lot of applications so the system is slow. |

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| **Interview Protocol** | |
| Interviewee:  ***Resiliency Team Member*** | Interviewer:  *Jade Hunt* |
| Location/Medium:  *Zoom* | Appointment Date:09/05/2021  Start time: 13:01  End Time: 13:08 |
| Objectives: Understand which features are required for the new system for the resiliency team  *What data is being collected: Information about the current systems advantages and disadvantages*  *Areas that you need to gain agreement on:*  *What areas to explore: The resiliency teams' day to day function and requirements for the system* | Reminders:  *Role/Background/experience of interviewee*  *Ask about recording the interview for later review* |
| Agenda:  *Introduction*  *Background on project*  *Interview overview (format/what can they expect)*  *Topics to be covered*  *Permission to record*  *Topic 1 Questions*  *Topic 2 Questions*  *Summary of major points*  *Closing* | Approximate Time:  *1 minute*  *1 minute*  *1 minute*  *1 minute*  *4 minutes*  *4 minutes*  *2 minutes*  *1 minute* |
| General Observations:   * Most objectives met, almost all the question were answered clearly with a lot of useful information gathered. Further in depth responses would have been preferable for some questions | |
| Unresolved issues/topics not covered:   * Question 2 – very brief explanation and not much if any information gathered from this question. Not sure if question was understood. * Job role – still unsure of interviewees job role and tasks as information gathered was quite vague. | |
| **Questions** | **Answer (Notes)** |
| Question 1  Could you please explain in detail the process you perform as part of your job role? | * Interact with regulators in different countries and markets they operate on * Asked frequently about the resiliency of the firm and applications they have * Tasked with answering the questions from these regulators * Use the system to pull the reports that they use to answer the questions from the regulators |
| Question 2  What systems do you currently have in place and how would you interact with them on a day-to-day basis? | * Resiliency data management system is used the most (on a daily basis) |
| Question 3  What features of the current system do you like and why? | * They do what they need it to do * Making system more user-friendly |
| Question 4  What features of the current system make your job more difficult and why? | * Not very user friendly * Doesn’t have a good user experience * Difficult for new people on the team to get used to the tools * Long time to train new staff * Performance of the tool isn't the best – especially the reporting module |
| Question 5  Are there any integral parts of the current system that you need to use to help with your job? | * Reporting functionality is the most important tool for the resiliency team |
| Improvised Questions  Do you have any features your team needs included to comply with the regulations you deal with?  We discovered that the operate team found the app interface to be outdated. Do you agree with this and what features would you look for in the new interface?  Does any of the data from the app need to be exported externally to be shared with regulators? | * Should be able to run reports showing status of the compliances of all applications * Should have Reports showing testing records * Testing compliance status of applications * Trap approval status report * Testing due dates report * Interface needs to be changed the tool is not friendly at all * No, reports are all excel based and gets received and sent directly. The tool does not send the reports, they are reviewed and sent off by staff |