

ICL Pathway	ICL Pathway Customer Service Problem and Alert Management Process	Ref:	CS/PRD/021
		Version:	4.0
	COMPANY IN CONFIDENCE	Date:	27/11/2001

Document Title: ICL Pathway Customer Service Problem and Alert Management Process

Document Type: Process Definition

Release: N/A

Abstract: This document defines the ICL Pathway Customer Service Problem Management Process.

Document Status: For Approval

Author & Dept: Nathan Monk - ICL Pathway CS Business Effectiveness Team

Contributors: Eric Hillier, Bob Davis,

Reviewed By: Paul Westfield, Eric Hillier, Mik Peach, Bob Davis, Alex Nicholson, Dave Law

Comments By:

Comments To: Nathan Monk

Distribution: ICL Pathway Library

ICL Pathway

ICL Pathway Customer Service Problem and Alert
Management Process

Ref: CS/PRD/021

Version: 4.0

Date: 27/11/2001

COMPANY IN CONFIDENCE

0.0 Document Control

0.1 Document History

Version No.	Date	Reason for Issue	Associated CP/Pin/ICL No.
1.0	05/11/97	ICL Pathway Problem Management Process	
1.1	16/04/98	Update	
1.2	25/05/98	Update	
1.3	19/07/98	Update	
1.4	03/12/98	Update	
1.5	02/04/99	Update	
1.6	29/07/99	Updated following internal review and comments	
2.0	26/08/99	Stored in PVCS as "Version Complete"	
2.1	15/05/00	Updated following a review of the CS Problem Management Operation	
3.0	13/11/00	Updated with comments from version 2.1, and developed for approval.	
3.1	19/11/01	Updated following annual process review, and incorporation of the CS divisional alert process.	
4.0	27/11/01	Updated with comments from review of version 3.1 and developed for approval	

0.2 Approval Authorities

Name	Position	Signature	Date
Paul Westfield	Infrastructure Service Manager		

0.3 Associated Documents

Reference	Title	Source
-----------	-------	--------

ICL Pathway

ICL Pathway Customer Service Problem and Alert
Management Process

Ref: CS/PRD/021

Version: 4.0

Date: 27/11/2001

COMPANY IN CONFIDENCE

1.	CS/IFS/008	ICL Pathway / POL Interface Agreement for the Problem Management Interface	ICL Pathway
2.	CS/PRD/074	ICL Pathway Incident Management Process	ICL Pathway
3.	CS/PRO/110	ICL Pathway Problem Management Database Procedures	ICL Pathway
4.	PA/PRO/001	Change Control Process	ICL Pathway
5.	CS/QMS/001	Customer Service Policy Manual	ICL Pathway

Unless a specific version is referred to above, references should be made to the current approved versions of the document.

0.4 Abbreviations/Definitions

Abbreviation	Definition
ATP	Authorised Temporary Procedure
CP	Change Proposal
CS	ICL Pathway Customer Service
CS Line Man	Customer Service Line Manager
CS Ops Support	Customer Service Operational Support
CSAC	Customer Service Action Centre
DM	ICL Pathway CS Duty Manager
FSMP	Field Service Management Process
HSH	Horizon Systems Helpdesk
ICL PW	ICL Pathway
ICL PW PM	ICL Pathway CS Problem Manager
PIR	Post Implementation Review
PM	ICL Pathway Problem Manager
POL	Post Office Limited
POL BSM PM	POL Business Service Management Problem Manager
RO	Resolution Owner
TP	Temporary Procedure

0.5 Changes in this Version

Version	Changes
2.1	The document has been revised to take account of latest development in Problem Management thinking and also to fit in with latest process and

ICL Pathway

ICL Pathway Customer Service Problem and Alert
Management Process

Ref: CS/PRD/021

Version: 4.0

Date: 27/11/2001

COMPANY IN CONFIDENCE

	policy developments.
3.0	Revision of the Process following comments to version 2.1 and of the Problem Management Role.
3.1	Addition of the alert management process and updates to improve links with other ICL processes.
4.0	Revision of the process following comments on version 3.1. Submitted for approval.

0.6 Changes Expected

Changes

0.7 Table of Contents

1	INTRODUCTION	7
2	SCOPE	7
2.1	Top level Process Diagram	7
3	DEPLOYED PROCESS	8
4	ROLES WITHIN THE PROBLEM MANAGEMENT PROCESS	9
4.1	Problem Originator	9
4.2	Problem Manager	9
4.3	Resolution Owner/Team	10
5	PROBLEM MANAGEMENT PROCESS	11
5.1	Problem Notification	11
5.1.1	Assign Problem Manager	11
5.1.2	Provide details of the Problem	11
5.2	Problem Analysis	12
5.2.1	Log Problem	13
5.2.2	Analyse Problem	13
5.2.3	Assess Impact	13
5.2.4	Prioritise	13
5.3	Problem Manager Action	14
5.3.1	Agree Problem Owner	15
5.3.2	Agree Action and Update plan	15
5.3.3	Requirement for a Temporary Procedure	15
5.4	Problem Resolution	16
5.4.1	Identify Root Cause	17
5.4.2	Develop permanent solution	17
5.4.3	Agree solution	17
5.4.4	Implement solution	17
5.5	Problem Monitoring	18
5.5.1	Monitor Solution Implementation	18
5.5.2	Solution Implemented	19
5.6	Problem Closure	20
5.6.1	Requirement for a PIR	20
5.6.2	Close Problem	21
5.7	(Authorised) Temporary Procedure	22
5.7.1	Temporary Procedure Development	23

ICL Pathway	ICL Pathway Customer Service Problem Management Process	Ref:	CS/PRD/021
		Version:	4.0
	COMPANY IN CONFIDENCE	Date:	26/11/01

5.7.2	Until Problem resolved	23
5.7.3	Withdrawal of the Temporary Procedure	23
5.8	Escalation to Divisional Alert	24
5.8.1	Engage Divisional Alert	24
5.8.2	Manage Divisional Alert	25

1 Introduction

Not all incidents and complaints that arise at the helpdesk can easily be resolved using the incident management process [Ref.2]. Some incidents have a wide impact, some may be difficult and time consuming to resolve, whilst others may arise as a result of a single underlying issue. Therefore, some incidents may require referral to the Problem Management process operated by ICL Pathway Customer Service.

A key element for success in the resolution of incidents and complaints that are referred to ICL Pathway Customer service is an effective Problem Management and Alert process.

Definitions of incidents and problems are given in ICL Pathways Policy Manual (CS/QMS/001).

2 Scope

This document details the Problem Management process, which includes the raising of alerts.

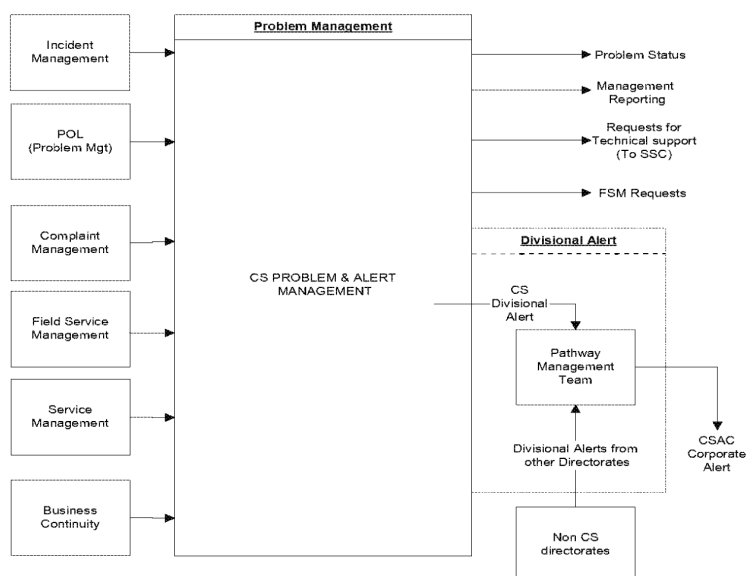
The scope begins at the point that a problem is identified. The process is divided up into the major Problem Management elements as shown in the “Deployed Process” within Section 3.

The scope includes the handling of Cross-Domain problems and the raising of Divisional and Corporate alerts.

The diagram below highlights the feeds in and out of the problem management process.

Each of the suppliers is able to identify problems that link in to the ICL Pathway Customer Service Problem Management process. The customers are those who potentially benefit from the resolution of a problem.

2.1 Top level Process Diagram



ICL Pathway

ICL Pathway Customer Service Problem Management
Process

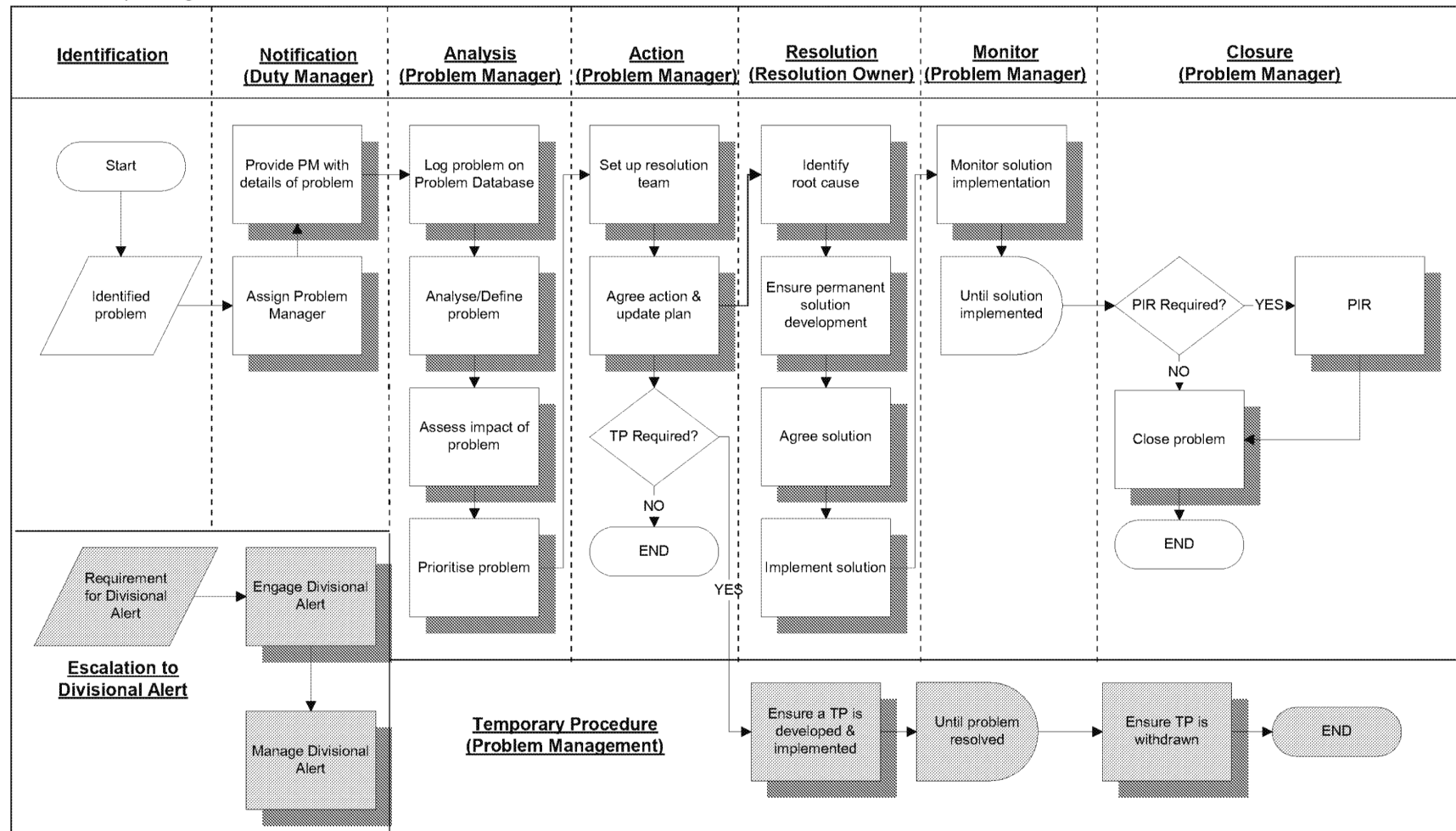
Ref: CS/PRD/021

Version: 4.0

Date: 26/11/01

COMPANY IN CONFIDENCE

3 Deployed Process



4 Roles within the Problem Management Process

4.1 Problem Originator

The person who initially raised the problem.

4.2 Problem Manager

The Problem Manager is the person assigned with responsibility for managing a problem through to resolution.

The Problem Manager will apply Project Management principles to progress the problem to resolution. This includes:

- Constructing a plan (including key target dates),
- Securing appropriate resource and commitment,
- Monitoring.

The duties of the Problem Manager include:

INITIAL ACTIONS	<ul style="list-style-type: none">• Logging the problem onto the Problem Management database.• Define problem• Initial impact assessment and prioritisation• Establishment of initial closure criteria
ONGOING ACTION	<ul style="list-style-type: none">• Problem Control<ul style="list-style-type: none">- Temporary procedure management- Alerts- Inform and communication (cross-domain?)• Keep record on Problem Management database updated

MANAGE PROBLEM RESOLUTION	<ul style="list-style-type: none">• Identify Resolution Owner• Agree an action plan and update report• Validate and agree root cause*.• Design solution (proposed deliverable(s) including implementation plans)*.• Agree solution.
MANAGE IMPELMENTATION OF SOLUTION	<ul style="list-style-type: none">• Manage implementation of the solution<ul style="list-style-type: none">- Manage action plan- Management of change- Monitor progress
CLOSURE	<ul style="list-style-type: none">• Problem closure<ul style="list-style-type: none">- Confirm closure criteria is met- Conduct Post Implementation Review (If applicable).

The Problem Manager is the only formal communication channel between the Service Management teams of ICL Pathway and POL.

4.3 Resolution Owner/Team

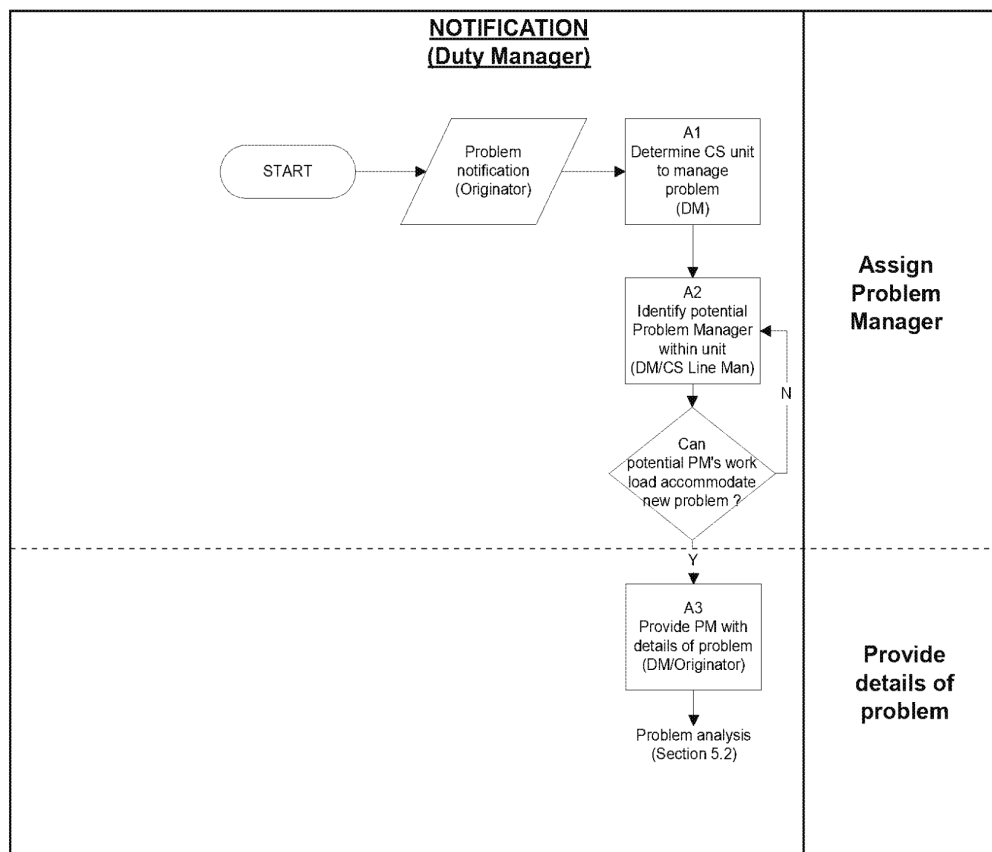
The Resolution Owner/Team is the authority assigned to resolve a particular problem and is responsible for developing a permanent solution. In some circumstances the Problem Manager may assume the role of Resolution Owner.

* Maybe delegated to any third party ICL personnel depending on pervious relevant experience and availability.

5 Problem Management Process

The process followed by the Problem Manager to ensure the resolution of a problem depends upon whether the problem is internal to ICL Pathway, or a cross-domain problem that requires interactions with a POL BSM Problem Manager.

5.1 Problem Notification



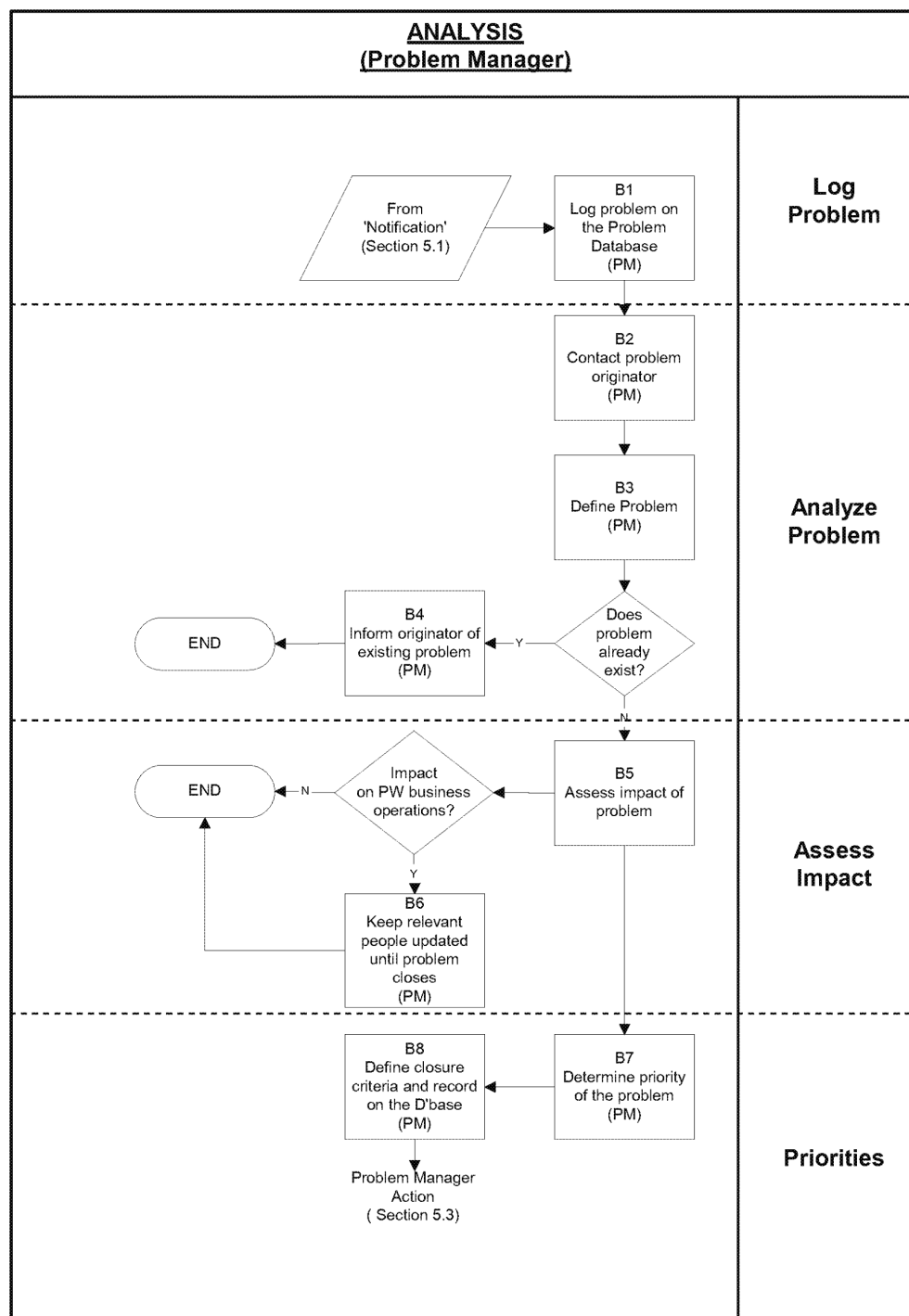
5.1.1 Assign Problem Manager

The Duty Manager is informed of individual problems, problems maybe communicated to the Duty Manager by the internal CS organisation or an external source. The Duty Manager then identifies potential Problem Manager/s (PM) best placed to manage the problem. Before a final decision can be made the DM must check the workload of the potential PM/s and assign the problem to an individual PM whose workload can accommodate it. Any difficulties with assigning a PM are discussed with the appropriate CS Line Managers.

5.1.2 Provide details of the Problem

The DM together with the problem originator provides the assigned PM with all the available details of the Problem.

5.2 Problem Analysis



5.2.1 Log Problem

All the details of the problems, along with any action taken to date, must be logged on the database [Ref.3]. This includes cross referencing the problem to any existing incident numbers or linked PinICL numbers, and also the POL problem number if the problem is a cross-domain Problem (see Section 5.3).

5.2.2 Analyse Problem

The Problem Manager contacts the originator of the problem in order to understand, if necessary, the problem more fully. It also allows the originator to know who the Problem Manager is and be informed of the Problem Reference number. The Problem Manager is then in a position to define the problem. If the problem already exists, the originator is notified of the Problem Manager dealing with the existing problem.

5.2.3 Assess Impact

If the problem doesn't already exist, the Problem Manager assesses the impact of the problem. This allows the problem Manager to decide who is impacted by the problem so that they can be informed and kept updated. In the case of a cross-domain Problem information from the POL Problem Manager should be taken into account.

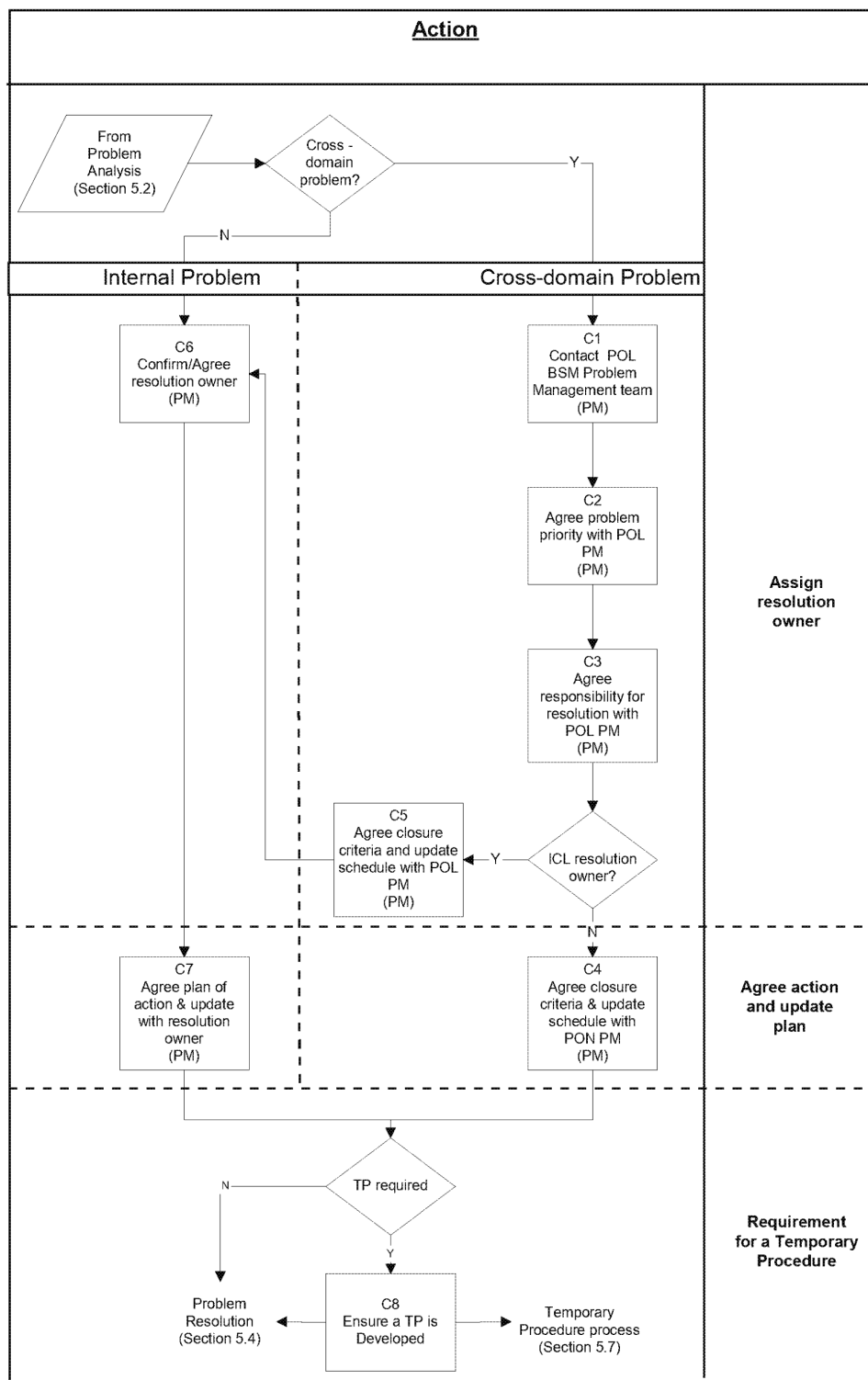
5.2.4 Prioritise

Having assessed the impact of the Problem the Problem Manager assigns a priority to the problem. The priority defines how urgent the problem is.

The Problem Manager also determines the closure criteria for the problem, i.e. the conditions under which the problem can be closed. This is also captured on the database.

If required, the Problem Manager can request the HSH to set up a Master Incident to capture incidents arising as a result of the problem. The priority of the problem could subsequently increase (or be lowered) if the volumes of incidents arising changes dramatically.

5.3 Problem Manager Action



5.3.1 Agree Problem Owner

At this stage the Problem Manager must decide whether or not the Problem impacts POL), i.e. a cross-domain Problem.

If the problem is identified as cross-domain the POL BSM Problem Management team is contacted [Ref.1]. Once a POL BSM Problem Manager has been established the Problem Managers from ICL Pathway and POL agree the priority of the problem, and also decide which organisation is responsible for the resolution of the problem.

5.3.2 Agree Action and Update plan

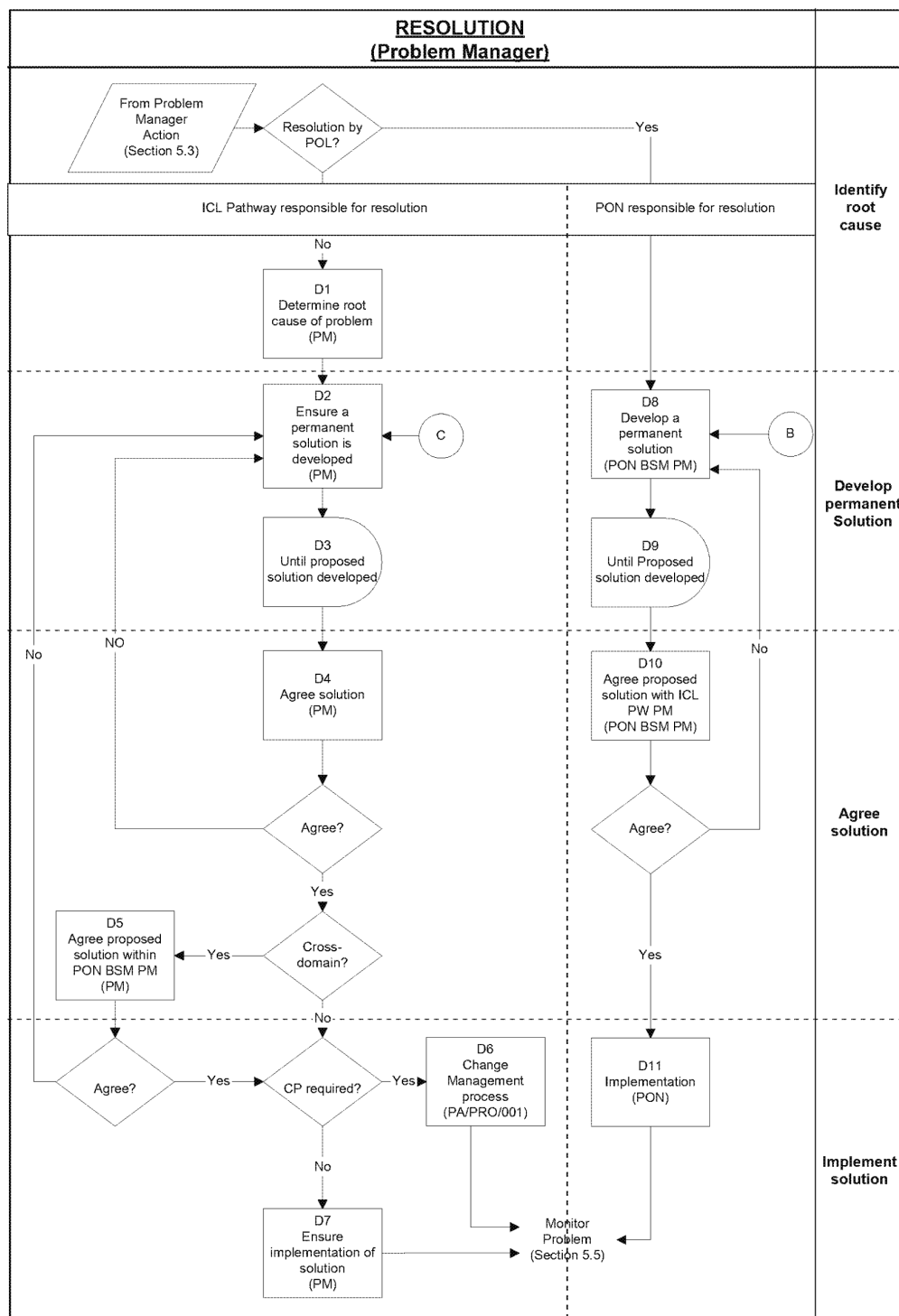
A plan of action (including target dates) and an update schedule is then agreed with the Resolution Owner. The Problem Manager is then in a position to monitor the resolution progress and take action should any delays occur.

If the Problem is cross-domain, then having agreed which organisation is responsible for the resolution of the problem, the Problem Managers agree the closure criteria, i.e. the conditions under which the problem can be closed, and also an update schedule to keep each other informed of progress.

5.3.3 Requirement for a Temporary Procedure

Whether the problem is cross-domain or internal to ICL Pathway, the Problem Manager decides if a temporary procedure (TP) is required to address incidents arising as a result of the problem whilst a permanent solution to the problem is being developed. If a TP is required, see Section 5.7.

5.4 Problem Resolution



5.4.1 Identify Root Cause

If ICL Pathway is responsible for the resolution of the Problem, whether or not it is an internal problem or a cross-domain problem, the root cause of the problem must be determined before any feasible solution can be developed. The level of investigation is determined by the business impact and risk of the initial problem.

Please Refer to Corporate Customer Satisfaction Framework (If online double click on Hyperlink) for more information on Root Cause Analysis.

5.4.2 Develop permanent solution

Having Investigation the root cause of the problem the Problem Manager ensures that the resolution owner develops and proposes a permanent solution to the problem, all the while keeping the Problem Manager updated with progress.

If responsibility for resolution lies within POL, the POL BSM Problem Manager ensures that a proposed solution is developed.

5.4.3 Agree solution

If ICL Pathway is responsible for resolution, the Problem Manager agrees the proposed solution with the resolution owner. If the problem is cross-domain, the Problem Manager must also agree the solution with POL BSM PM.

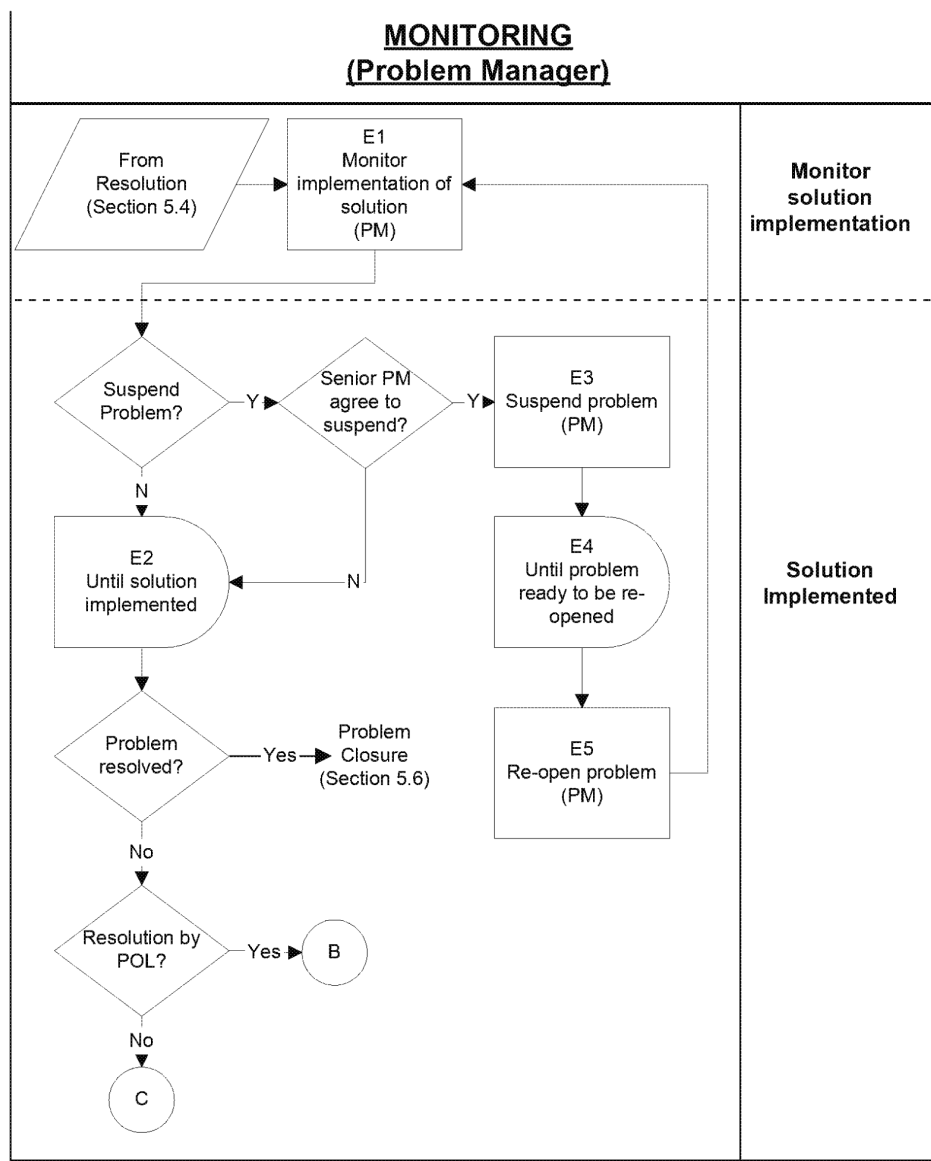
If POL is responsible for the resolution of the problem, after having developed a proposed solution, the POL BSM PM will agree the solution with the ICL Pathway CS PM.

5.4.4 Implement solution

If ICL Pathway is responsible for the resolution, then after having agreed the proposed solution, the Problem Manager ensures the process for implementing the change is initiated. In many cases, this requires the initiation of the formal Change Management process [Ref.4].

If POL is responsible for resolution, then once the solution has been agreed with the ICL Pathway Problem Manager, the POL BSM Problem Manager ensures that the solution is implemented.

5.5 Problem Monitoring



5.5.1 Monitor Solution Implementation

The Problem Manager monitors the resolution and implementation of the problem to ensure constant progress against deadlines. If deadlines are not being met, or progress is slow, then if necessary, the Problem Manager can escalate (see Section 5.8) the problem to ensure continuous progress against requirements.

In certain circumstances a problem can be suspended to save the Problem Manager writing updates that do not add any further information or benefit to the Problem Management database log. E.g. a resolution to a problem is due to be released into the live estate within the next scheduled software release. The problem may be suspended

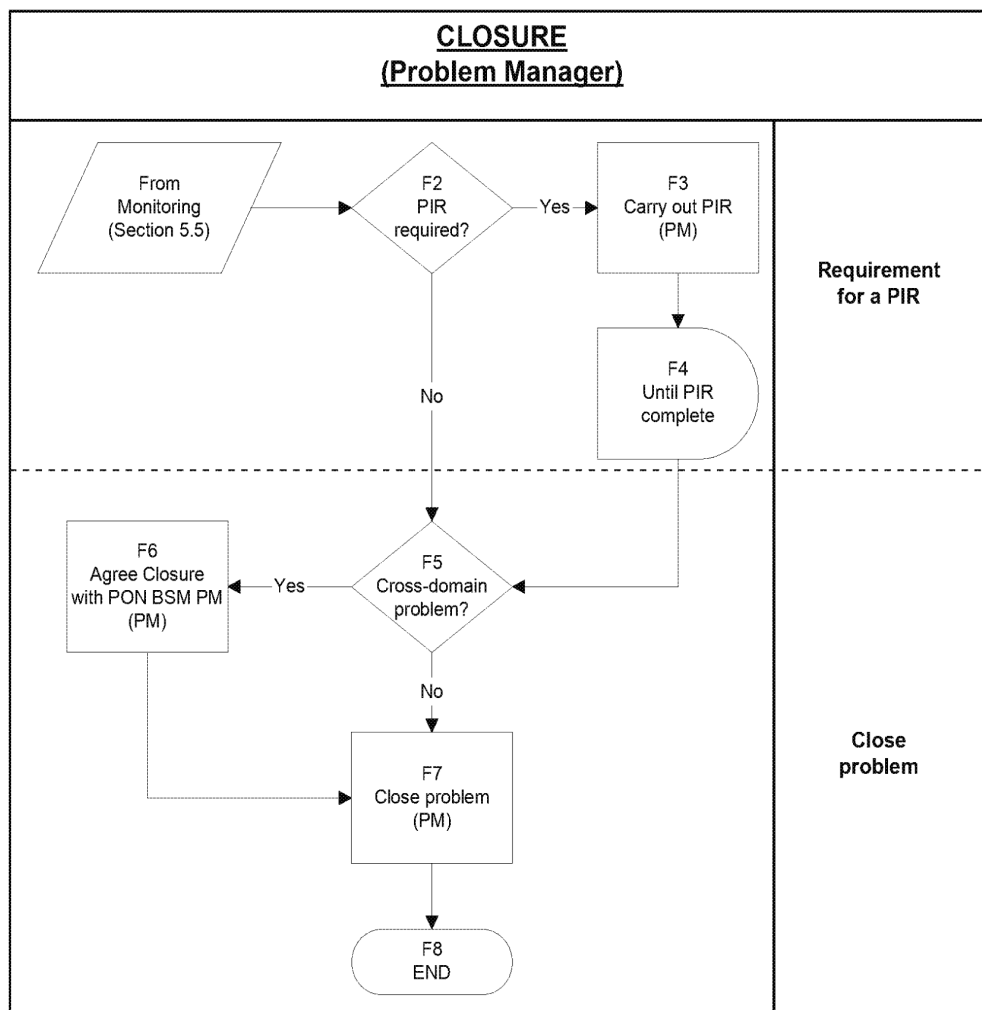
until the software release is run and the new resolution can be monitored. A problem can only be suspended once it has been authorised by the senior problem Manager.

5.5.2 Solution Implemented

Once the solution has been implemented, the Problem Manager determines whether the problem has been resolved. If not, then action must be taken to understand why the problem still remains and to ensure that a solution is developed that resolves the problem. Again, escalation may be used to ensure that resources are available to develop a solution to meet target deadlines.

If the problem has been resolved, the Problem Manager can move on to closing the problem.

5.6 Problem Closure



5.6.1 Requirement for a PIR

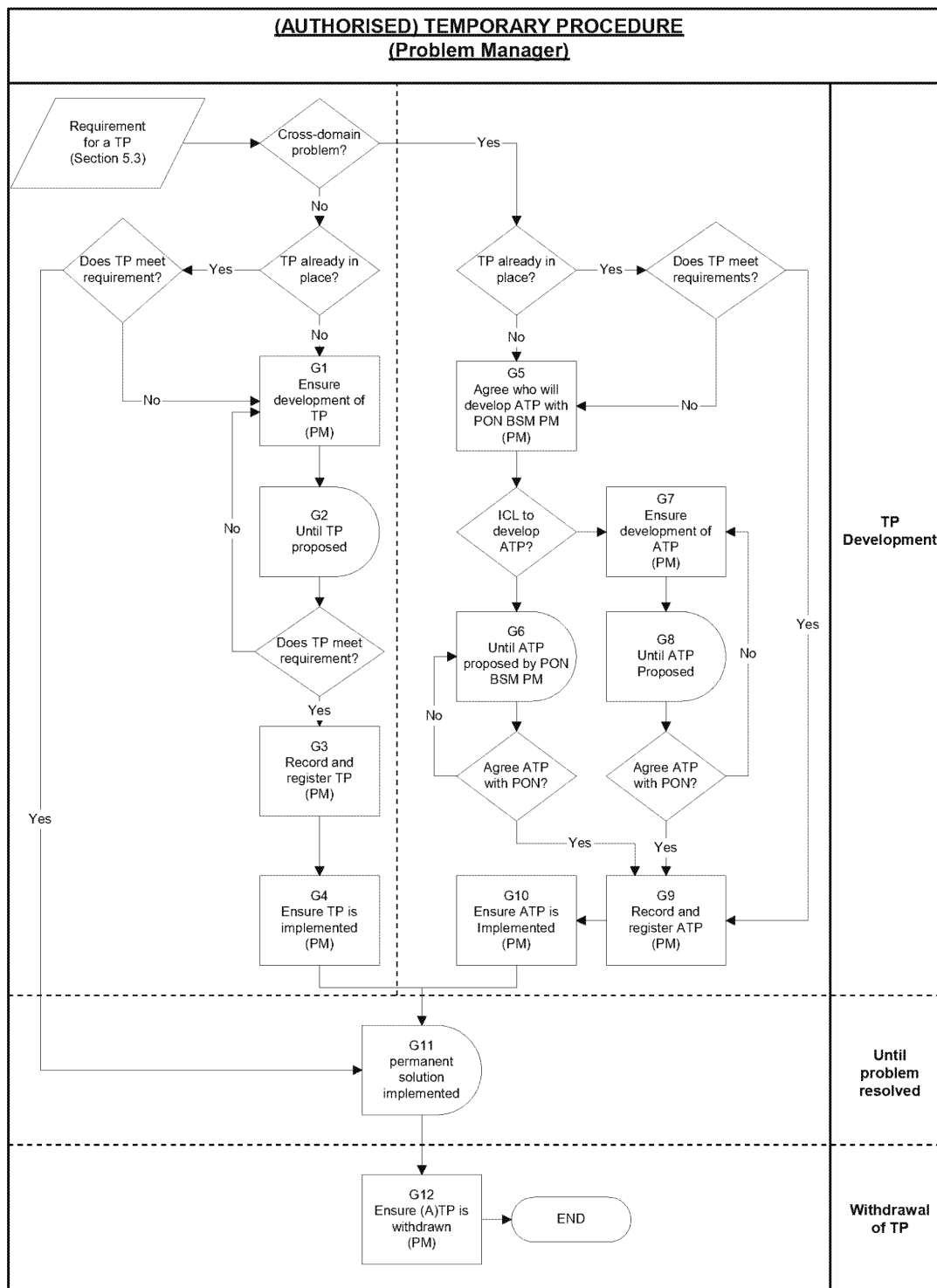
Before the Problem is formally closed the Problem Manager decides if a Post Implementation Review (PIR) is required. In the case of a Cross-Domain Problem, either organisational Problem Manager can request a PIR. A PIR should take place if the Problem Manager was unhappy with the way that the problem was resolved. The Review should include all the main players within the resolution of the problem with a view to running through the problem and determining which parts of the process could have been implemented more efficiently. The end result is to initiate improvement actions to ensure that the process is operated as it should be or ultimately improved. The PIR is presided over by the Problem Manager who requested it.

5.6.2 Close Problem

If a PIR is has been carried out, this should be used as the authority to close the problem. The problem is closed after all actions arising from the PIR have been completed.

If the problem was cross-domain, it cannot be closed until agreed with the POL BSM Problem Manager. If agreement is required from the POL BSM Problem Manager, evidence of their agreement to close is required, i.e. letter, email, fax etc.

5.7 (Authorised) Temporary Procedure



5.7.1 Temporary Procedure Development

If a Temporary Procedure (TP) is already in place then the Problem Manager determines whether or not the TP meets current requirements. In the case of cross-domain problems, the Problem Manager agrees with the POL BSM Problem if the existing Temporary Procedure meets requirements.

Note: Cross-domain temporary procedures are agreed between the Problem Managers of both organisations. Once agreed, the TP is known as an Authorised Temporary Procedure (ATP).

If an existing TP meets current requirements then no further action is taken until the TP is withdrawn.

If an existing TP does not meet current requirements, or no TP is yet in place, the Problem Manager ensures that a TP is developed, recorded and registered, and finally implemented. Development of the Temporary Procedure must include an implementation and withdrawal plan.

If a cross-domain problem requires an ATP to be developed, the Problem Managers agree which organisation is responsible for developing the ATP. The Problem Manager of the organisation responsible for the development of the ATP ensures that an ATP is developed. This is then agreed with their counterpart, recorded and registered, and implemented.

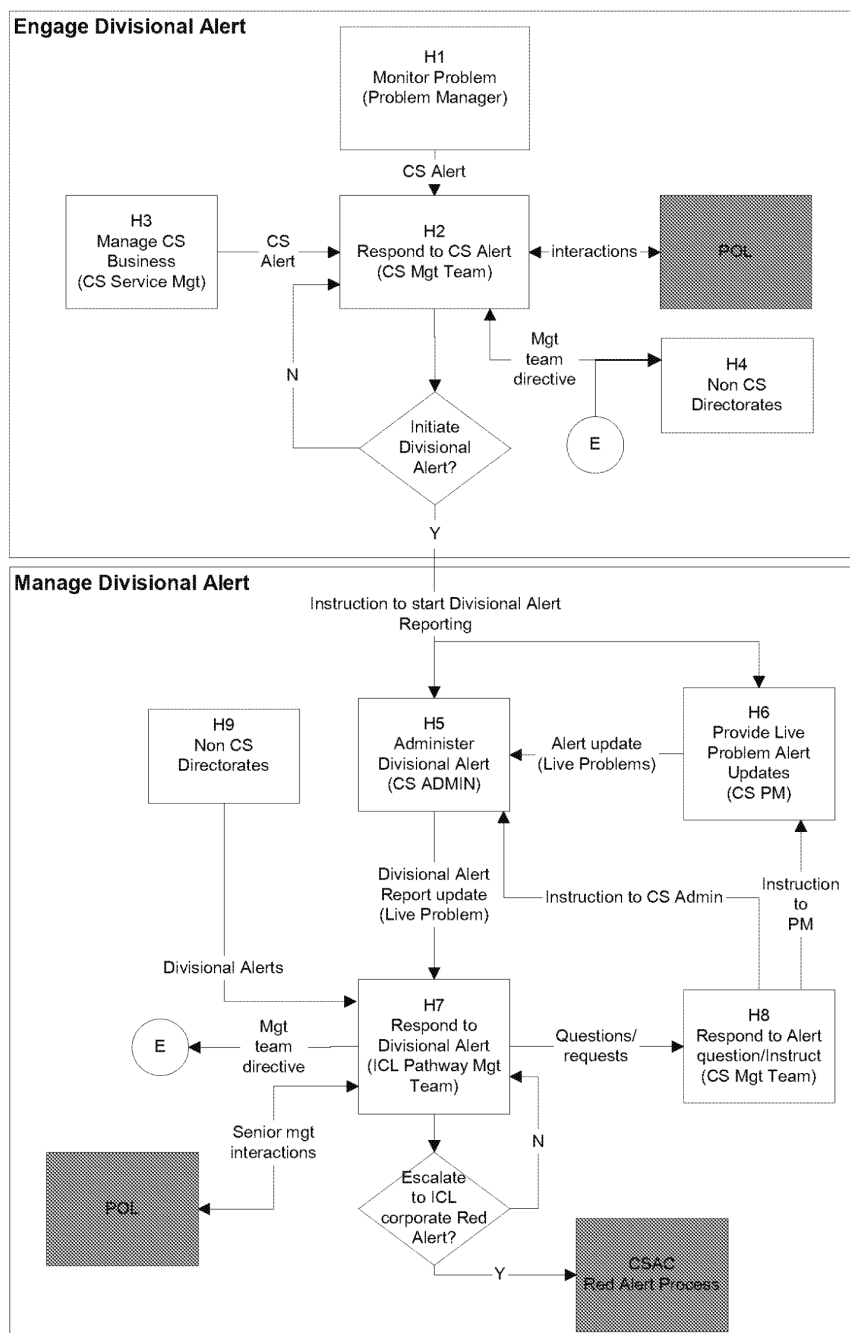
5.7.2 Until Problem resolved

A TP remains in place until a permanent solution has been developed and implemented. During this time, the Problem Manager(s) regularly review and monitor a TP to ensure that it is working as it should.

5.7.3 Withdrawal of the Temporary Procedure

Once a permanent solution to the problem has been developed and implemented, the temporary procedure is withdrawn. This must be carried out in a co-ordinated manner alongside the implementation of the permanent solution.

5.8 Escalation to Divisional Alert



5.8.1 Engage Divisional Alert

During the life of a problem, the Problem Manager constantly monitors the progress of the problem resolution to ensure that everything is on track and that target deadlines are being met. At any point during the Problem Management process the Problem

Manager or a member of the CS Management Team can highlight a problem for a potential Divisional Alert.

The Divisional Alert status is intended to bring increasing levels of management attention and/or expertise to bear upon the resolution of a Problem. Divisional Alerts should only be considered for use in exceptional circumstances.

Potential Divisional Alerts may normally occur when:

- An issue is causing increased concern through time delay and consequent business impact, or
- It has not been possible to reach agreement on some aspect of the definition or management of the Problem.

5.8.1.1 Specific to Process Box H1, H2, H3 and H4

If a Problem Manager or CS Service Manager feels that a problem is suffering from any of the circumstances listed above then they can escalate the problem to the CS Management Team. The CS Management Team will decide whether to raise a Divisional Alert or not.

5.8.2 Manage Divisional Alert

5.8.2.1 Specific to Process Box H5

Divisional alert reporting for selected live problems is initiated by an instruction from the CS Director or nominated person. A parallel instruction to the relevant CS Problem Manager initiates the provision of problem updates.

CS Ops Support produces an alert update every time they receive a problem update from the CS Problem Manager. Alert reports are produced and sent to an agreed distribution list until they are instructed to close the Alert from the CS Director or nominated person.

CS Ops Support also receive requests, e.g. "Please close alert", these will be progressed, passed on to the relevant CS Problem Manager and copied to the CS Management Team and CS Director or nominated person.

5.8.2.2 Specific to Process Box H6

The decision by the CS Management Team to escalate a live problem to Divisional alert is communicated to the appropriate CS Problem Manager.

The CS Problem Manager responds by providing regular problem updates to CS Ops Support. The CS Problem Managers will produce a problem update typically twice weekly or as stipulated by the CS Director or nominated person.

Note: CS Problem Managers continue to update the CS Problem Database at least once a week. The database update includes a summary of the information provide to CS Ops Support.

Specific questions from ICL Pathway Directors are passed to CS Problem Managers with a request to include an answer to the question in the next problem update. The CS Management Team interacts directly with CS Problem Managers when required.

Note: If a cross-domain problem is being escalated, the Problem manager must ensure that the counterpart organisational Problem Manager is informed so that escalation can take place to the same level within the partner organisation. This ensures that the same management levels are aware of the situation should they need to contact each other.

5.8.2.3 Specific to Process Box H7

ICL Pathway Directors (and other selected Pathway Managers) receive live problem alert reports, and thereby remain aware of serious live problems.

ICL Pathway Directors interact with PON Senior Management as and when required.

For problems where action or a decision is required, they communicate Directives to the appropriate ICL Pathway Directorate(s), e.g. change priorities, sanction additional resource.

When appropriate, the CS Management Team responds directly to the ICL Pathway Management Team, e.g. to answer a non-specific or general question.

In very exceptional circumstances, the ICL Pathway Management Team may use standard procedures to escalate a selected live problem to ICL Corporate Red Alert status (CSAC). Any questions or requests relating to the alert report are communicated to CS Ops Support

5.8.2.4 CS Mgt team escalation to CSAC

In normal circumstances escalation to CSAC will be at the discretion of the ICL PW Management Team. However, in exceptional circumstances, e.g. Severe Business Continuity, the CS Director or nominated person may raise an alert directly with CSAC and provide notification to the ICL PW Management team in Parallel.