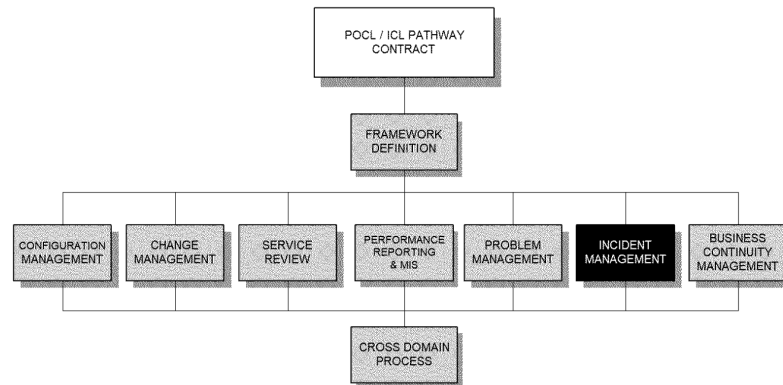


Service Management Framework

Incident Management



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0.1 DOCUMENT HISTORY

<i>Version</i>	<i>Date</i>	<i>Details</i>
0.1		Separated from "Incident and Problem Management" and updated with observations from procedural walkthroughs.
0.2		updated with comments from BSM review
0.3	12/2/99	updated with comments from ICL Pathway and the DSS.
0.5	24/5/99	updated to common framework format
0.6	1/7/99	produced for the Framework Steering Group
0.7	13/8/99	Amended to reflect separation of cross domain processes; for formal review by POCL and ICL Pathway.
0.8	18/8/99	Updated by Framework Steering Group - issued for formal review by POCL and ICL Pathway

0.2 REFERENCE DOCUMENTS

<i>Doc. Ref.</i>	<i>Title</i>	<i>Reference</i>

0.3 DISCLAIMER

This is a Working Document. As such it is without prejudice to any of the parties and nothing contained herein shall be deemed or construed as affecting existing contractual obligations or creating new contractual obligations between any of the parties.

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1. Introduction

- 1.1 This paper sets out the definitions, practices and policies which have been agreed for the day to day management and resolution of Incidents across the POCL and ICL Pathway live service environment. The Incidents referred to in this document are Cross Domain Incidents, i.e. those Incidents that affect more than one organisation.
- 1.2 This document does not apply to contractual issues. There are separate and formal arrangements for the consideration, escalation and resolution of any contractual difficulties that arise between POCL and ICL Pathway. All disputes of a contractual nature must be progressed in accordance with the *Authorities Agreement Clause 807*.
- 1.3 Although Incident Management always involves Helpdesks it may also include activities that occur in other functions and areas within organisations.

2. Terminology

- 2.1 Within a Service Management environment it is important to ensure a common understanding of the terminology that is used.
- 2.2 The following denotations are applied as part of the Horizon Service Management Framework and have been agreed between POCL and ICL Pathway. The definition of an Incident is best explained in conjunction with the definition of a Problem.

2.2.1 Incidents

Incidents are individual day to day events resulting from:

- faults or failures in equipment, software, services or procedures;
- user error;
- user requests for advice and guidance.

Such an event may be resolved locally or be raised as an Incident. An Incident will be deemed to exist when it is logged on a POCL or ICL Pathway Incident Management system.

Incidents are managed via a framework of function specific services, fronted by Help Desks. Once a solution or temporary procedure has been applied and accepted the individual Incident will be closed.

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2.1.2 Problems

A Problem is a record of an underlying cause which may result in Incidents.

A Problem potentially exists when a defect in the specification, design, production, implementation, or use of any of the service components results in any aspect of the service not meeting expectations.

A Problem will be raised when the impact of the defect (e.g. the level and severity of the related incidents) is substantial enough to warrant action to eradicate it.

A Problem will be deemed to exist when it is logged on a POCL or ICL Pathway Problem Management system.

A Problem will be closed when it has been agreed that the underlying cause has been fixed or removed.

2.1.3 Escalation

Incidents may be escalated to various levels between POCL and ICL Pathway. This process is intended to bring increasing levels of management attention and/or expertise to bear upon the resolution of an Incident. Escalation should be considered to be an exceptional resort, and the reasons for resorting to escalation should be examined for each occurrence. Escalation to a higher level will normally occur either:

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

2.1.4 Temporary Procedures

An Incident may be resolved by the application of a temporary procedure, which will be agreed between the Helpdesk managing the Incident and the organisation within which the Incident occurred. This will be at the discretion of the parties involved, who must take into account any actual or potential impact on other business areas.

When a Problem is raised, a temporary procedure may be identified as a method of resolving the related Incidents until such time as the Problem is resolved. These temporary procedures must be agreed between POCL and ICL Pathway, at which point they are designated "Authorised Temporary Procedures".

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3. Roles and Forums

3.1 Context

POCL and ICL Pathway have differing structures and roles; the roles detailed below are common to both organisations, but do not represent the totality of the organisation structure. The formal job titles may differ from those below, but POCL and ICL Pathway will identify a direct equivalent to those roles.

3.2 Helpdesk Operator

The Helpdesk Operator takes incoming calls at the Helpdesk, logs Incident details, may be mandated to resolve the Incident if possible, otherwise refers it to second line support or an expert domain for resolution, closes the Incident when resolved.

3.3 The Operational Service Manager

The escalation route must include the Operational Service Manager, who is a member of the Horizon Service Review Forum.

3.4 Horizon Service Review Forum

The HSRF can arbitrate when agreement cannot be reached between the Service Management functions, and will be informed of volumes and trends of Incidents and their resolution.

4. Incident Management

4.1 Incident Management Policy

4.1.1 The primary purpose of Incident Management is to deal quickly and effectively with day to day events that interrupt normal performance of the systems, services, processes and procedures in a live operational environment.

4.1.2 Incidents will generally require either a technical and/or business related solution. Simple faults or failures may be resolved through localised support arrangements within an operational group or unit.

4.1.3 All other faults, failures, reconciliation errors or requests for advice and guidance will be reported to an appropriate Help Desk service. The relevant Help Desk will thereafter assume responsibility for control and co-ordination of the efforts required to resolve the incident. It is anticipated that many incidents will be resolved over the telephone by front line Help Desk staff. Others will need referring to one or more expert domains where the responsibility and/or skill exists to provide a solution.

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- 4.1.4 The resolution of incidents will be prioritised according to business impact and may require escalation. There will be target resolution times according to the category/priority of a particular incident and agreed escalation routes.
- 4.1.5 All Help Desk services within the POCL and ICL Pathway service domains will either maintain records and statistics to facilitate performance reporting and incident trend analysis, or will provide such records to another domain for this purpose. This type of information feeds into the Problem Management function and overall Service Review process
- 4.1.6 In the event of a serious incident involving outage of a major component of the end to end service, the Cross Domain Business Continuity Management Framework provides guidance about the invocation of Contingency Plans and related decision paths/escalation routes.

4.2 Incident Management Principles

In order to meet the objectives outlined above POCL and ICL Pathway will follow this policy:

- All Incidents should be recognised as such and reported to the appropriate Help Desk
- Accounting and reconciliation errors will be classified as Incidents.
- All Incidents will be recorded and assigned a unique number by the Help Desk.
- Priority and severity values will be assigned to all Incidents.
- Incidents will be carefully diagnosed and responsibility for resolution clearly assigned.
- Incidents will be resolved without unnecessary delay and against performance targets.
- There must be clear and pre-defined routes for the escalation of Incidents to support increasing levels of management focus.
- Incidents will only be closed when the Incident originator agrees that the Service has been restored to normal.
- The impact of an Incident will be assessed and all operational areas affected will be informed.
- Wherever possible, potential Incidents will be identified in advance and pre-defined routes to resolution will be developed.
- Advice and guidance provided by Helpdesks must be consistent.

4.3 Incident Management Process

POCL and ICL Pathway will develop and maintain complementary and consistent internal procedures for reporting, registration, monitoring, control,

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resolution and closure of cross domain Incidents. These will be embodied and described in the Cross Domain Process for Incident Management (REF)

4.4 Escalation Policy

4.4.1 When it is decided to escalate a cross domain issue, it is important that the escalation is simultaneous (or as close to simultaneous as is practicable) and that it is to an equivalent level in each of the organisations affected. Because organisation structures are not always direct equivalents, it is sometimes necessary to combine roles in order to achieve a synchronous escalation. The Escalation process is designed to focus on the Horizon Service Review Forum, so that any issue escalated reaches that level within each organisation at the same point in the escalation process.

4.4.2 The decision to escalate will be made when it is considered that the issue in question cannot be resolved at the level at which it is being managed. Participating counterparts in other organisations must be informed, and each should escalate the issue to the next level.

4.4.3 Escalation should be distinguished from referral, referral being notification that occurs during the normal operation of a process, so that referral of a Business Continuity Incident to the Operational Service Manager is not escalation, as it is a step in the standard process for Business Continuity.

4.4.4 It is desirable that escalation points for all Service Management disciplines are constant, thus ensuring that managers are dealing with the same contacts for all escalated issues.

5. General

5.1 For further detailed information about the management of incidents and problems across the live environment, reference should always be made to the detailed procedures which exist within POCL and ICL Pathway.