

ICL Pathway

**ICL Pathway Problem Management
Process**

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Abstract: This document defines the ICL Pathway Problem Management Process and its interactions between ICL Pathway's suppliers and customers.

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0.3 Associated documents

	Reference	Vers	Date	Title	Source
1	CS/PRO/0044	1.0	21/10/97	ICL Pathway Problem Management Structure	Pathway
2	PA/PRO/014	2.1	21/01/98	PinICL Incident Management Process	Pathway
3	CS/FSP/005	0.1	16/09/97	Horizon System Helpdesk Incident prioritisation	Pathway
4	PA/PLA/0003	0.6	29/07/97	Disaster Recovery Plan	Pathway
5	HH/PRO/011	1.0	30/05/97	Horizon System Helpdesk Call Routing Table	CFM
6		4.0	July '97	ICL Customer Red Alert Handbook	ICL Grp
7	PDA / SVM / CP / 001	2.0	10/10/97	SCoP - Service Code of Practice for Help Desks in the Card Environment. (Currently under revision)	PDA
8	Service Management/ INCPROB.doc	0.3	23/07/97	Incident and Problem Management	PDA
9	PDA/SVM/PM/ 001	1.1	17/9/97	Problem Management in the PDA	PDA

0.4 Abbreviations

BA	Benefits Agency
DM	Duty Manager
CAPS	Customer Accounting & Payment Strategy
COLS	CAPS Operations and Live Support
COPS	CAPS Operational Support
HSH	Horizon Systems Helpdesk
IS&P	Information Systems & Process
ITSA	Information Technology Services Agency
OOH	Out of Hours
OSM	Operational Service Management
PCHL	Payment Card Helpline
PDA	Programmes Delivery Authority (now known as PSM)
PIR	Problem Investigation Review
PM	Problem Manager
POCL	Post Office Counters Limited
PRCS	Payments Repository Computer System
PSM	POCL Service Management
RHD	Regional Helpdesk
SCoP	Service Code of Practice
SLA	Service Level Agreement
SMC	System Management Centre
SPOC	Single Point of Contact
TSA	Technical Support Advisor

0.5 Changes in this version

- Version 1

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1 Introduction

Problem Management within ICL Pathway is a growing area. The current Problem Management Process now needs updating to take account of Problem Management developments within ICL Pathway, and to prepare for problems that will occur in the future once roll-out begins. The problems need to be managed effectively and efficiently, and the process needs to take account of the increasing number of problems.

The document also takes into consideration the PDA Service Code of Practice for Help Desks in the Card Environment (known as SCOP). The SCOP '....serves to describe the services involved in the Card Payment environment for Release 1c, their roles and responsibilities and the way they interact with each other. This document (SCOP) also gives an overview of the procedures for incident and problem management and the escalation process.'

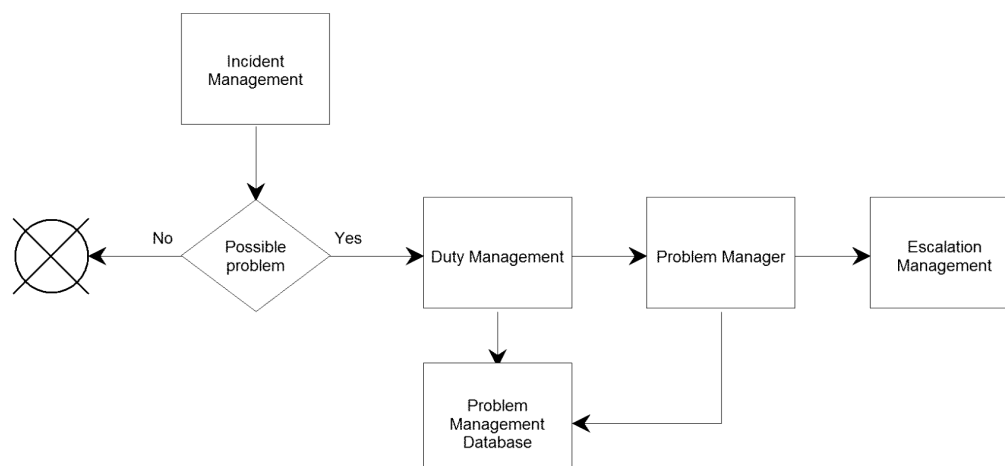
- SCOP Version 2.1, P9, Para 1.1

2 Scope

This document defines how Problem Management within Pathway is presently initiated, looking at the processes that take place until the resolution of a problem. The baseline will be used to develop future Problem Management.

Key areas include:

1. The change over from Incident Management to Problem Management, and the role of the Duty Manager within this process.
2. A high level view of the Problem Management Process.
3. The introduction of a Problem Management Database to capture the growing number of problems.
4. The Escalation Process. When escalation should take place. Who should be escalated to.



3 Distinction between an ‘Incident’ and a ‘Problem’.

Incident

Definition of an “Incident”

Source: PDA Service Management - Service Code of Practice
Ref: **PDA / SVM / CP / 001**
Version 2.1, Page 11. Paragraph 4.3.2.1

“Incidents” - are individual day to day faults or failures in equipment, software, services or procedures. These are generally raised by users and / or customers at an operational level and managed via a framework of function specific Help Desk services. Each event will require the further identification of a specific solution or authorised temporary procedure to resolve it. Individual incidents may be escalated for ACTION or INFORMATION. Once a solution or authorised temporary procedure has been applied or accepted the individual incident will be closed. An incident or series of related incidents may give cause for a wider concern and be symptomatic of an underlying problem.

Problem

Definition of a “Problem”

The SCOP provides a generic definition for the PDA, Pathway, BA, ITSA and POCL.

Source: PDA Service Management - Service Code of Practice
Ref: **PDA / SVM / CP / 001**
Version 2.1, Page 12. Paragraph 4.3.2.2

“Problems” - are typically matters of concern with wider implications for the overall service environment. These might be highlighted through operational experience, research or trend analysis of Help Desk incidents. A problem will often have fundamental implications (either actual or potential) for the larger community of users and/or customers. Incidents may be symptomatic of problems. For example, the application of an interim authorised temporary procedure could enable the closure of an incident, but management of the underlying problem would be concerned with developing a permanent solution.....

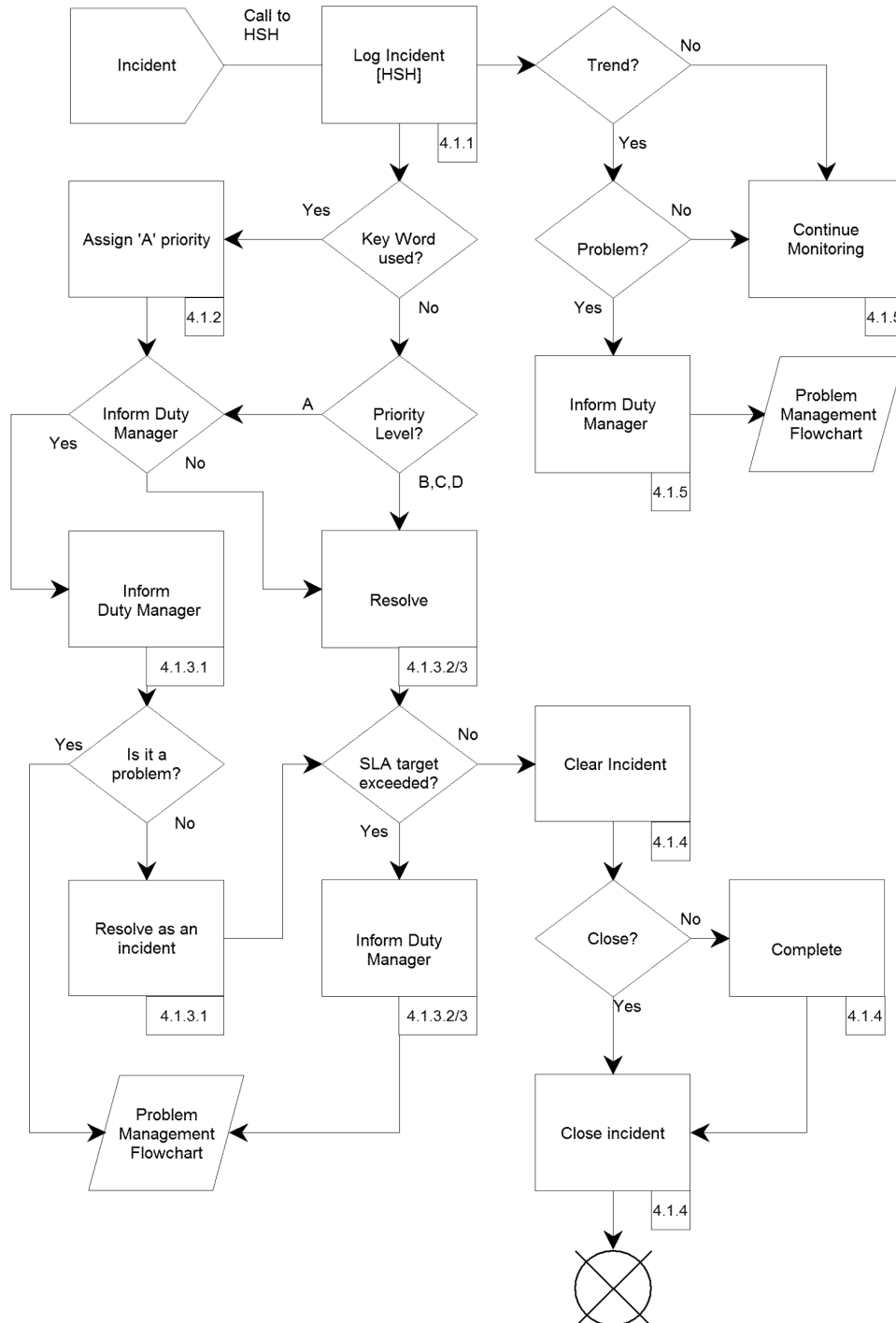
4 ICL Pathway Incident to Problem Management Process

In order to establish the Problem Management Process it is first necessary to understand the Incident Process that may eventually lead to the Problem Management Process being invoked.

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4.1 Explanation of the Incident to Problem Management Process

4.1.1 Calls logged at HSH

All calls that come through to HSH are logged as incidents. The priority level of the incident is then determined by HSH having extracted as much information as they can from the caller. Calls can be logged as either A, B, C or D priority calls. Generally, C and D priorities arise from internal sources only.

4.1.2 Key words

To help the HSH operator determine whether a call is escalated to the Duty Manager (See Section 8 for the role of the DM), a set of key words have been developed (Appendix 3). If any of these key words are mentioned by the caller then the call is assigned an 'A' priority code and the DM will be contacted via the pager (Pager 01893-271678). If a key word is not used then the call matrix will be used to determine the priority. Reference 3 lists the priorities assigned to calls received at the HSH.

Note: The use of key words is a temporary measure until the HSH call matrix and routing tables are fully populated and functional.

4.1.3 Priorities

4.1.3.1 'A' priority

When an incident is set as an 'A' priority, then most of the time the DM is informed of the incident. (Exceptions to this are 'A' priorities assigned to Post Office Hardware calls. In these instances the designated routing table is followed.) The DM then decides whether or not the incident is a problem (see Section 6) or should be handled through the normal 'A' priority channels. If it is regarded as a problem the Problem Management process is started (See Section 7).

If the 'A' priority is not regarded as a problem but a resolution can not be reached within the agreed SLA targets then the Duty Manager is again informed and Problem Management may be invoked.

Note: As with the use of key words, once the HSH call matrix and routing tables have been fully populated, only specific 'A' priority calls will result in the DM being contacted.

4.1.3.2 'B' priority

If an incident is classed as a 'B' priority incident, Problem Management is only called upon if no resolution can be implemented within the specified 'B' priority SLA targets.

4.1.3.3 'C' and 'D' priority

Generally, no incident should be classed as a 'C' or 'D' priority if there is any chance of Problem Management being established. Any 'C' or 'D' priority incidents should be worked on until they are cleared.

Note: There are no SLA's in place at present for 'C' or 'D' priorities. However, when SLA's are put in place then Problem Management could

be instigated if the SLA's are broken.

4.1.4 Clearance

Once an incident has been resolved it is then cleared, however, it is not necessarily closed. For example, a Post Office that is down may have a temporary fix put in place in order for the Post Office to run again, in which case the incident is cleared. However, the incident will not be closed until the underlying cause has been corrected.

4.1.5 Trends

One other way the Problem Management Process can be invoked is through the establishment of incident trends. For example, if a number of incidents are showing to be of similar nature and coming from the same source, then there might be a common fault that has not yet been highlighted. This would therefore need to be investigated with a view to starting off the Problem Management Process.

It is the responsibility of the Senior TSA to identify trends and to flag the awareness of them to the Duty Manager.

4.1.6 Time Scales

The above process seems to take us through a long time delay. However, as Appendix 6 shows, the process from logging an incident to an incident becoming a problem is not very long.

Note: Appendix 5 shows approximate times for the immediate escalation of an incident to Problem Management.

5 Problem Sources

5.1 Internal and external sources

A problem can derive from a number of sources . These can be internal to Pathway and external. The following sources have been identified:

De La Rue
POCL (inc. outlets & RHD's)
BA (via ITSA)
Oracle (via SSC)
Energis (via CFM)
Royal Mail
CFM
SSC
PCHL
HSH
Pathway internal

If any of the above sources wish to raise a problem, then they must first log the call with the Horizon System Helpdesk.

If a *supplier* has a problem that they wish to raise with Customer Service, it should first be registered with the HSH. The next point of contact should then be the Service Manager, or the DM if the Service Manager is unavailable. (Appendix 8 lists Pathway Service Managers)

If a *customer* has a problem to raise with the Customer Service Department then the DM will be the first point of contact after the call has been registered with the HSH.

Conversely, points of contact with the above sources also need to be clarified so that Pathway know who to contact when a problem needs escalating externally. If the supplier has a CS Service Manager, then the Problem Manager should first contact the Service Manager rather than going straight through to the supplier. The Service Manager will then decide whether he/she or the Problem Manager will contact the supplier.

(See Appendix 2 for known contact points)

5.1.1 POCL Service Management (PSM)

(formerly known as PDA Operational Service Management)

PSM play an important part within Problem Management. They are informed of all problems that have an impact on customer organisations outside of Pathway, and act as the point of contact for POCL and currently the BA. It is therefore worthwhile spending a little more time explaining the problem links with them.

5.1.1.1 PSM contacting Pathway

Currently, PSM sometimes report problems directly to the Customer Service department without reference to an HSH incident call number. In order to provide a clear audit trail, PSM must reference their problems to an HSH incident call number. Therefore, in future, when PSM call with a problem that isn't linked to a incident number, then they should be asked to provide one before registering the problem.

5.1.1.2 Cross Boundary problems

Also, as mentioned in SCoP (Page 16, Paragraph 4.8.3.2), the PDA [now PSM] will be made aware of cross-boundary problems. Therefore if, for example, the ITSA Help Desk logged a call with HSH that was viewed as a problem, they will also contact the PDA.

When it is necessary to contact PSM about a known problem, then the PSM problem owner should be contacted, and the PSM reference number quoted.

5.1.1.3 Pathway contacting PSM

If a new problem is to be reported to PSM, then any member of the team can be contacted. Once a new problem has been reported, a PSM problem reference number will be issued. This should then be used for all future communication relating to that specific problem.

Details of any PSM problem can be obtained from the PSM Database Controller. The Database Controller is based in Newcastle where the PSM Problem Management Database sits.

The Database Controller issues weekly updates on all PSM problems, of which a copy is sent to the ICL Pathway Service Management team.

(DN: As of the 1st June, the BA arm of PSM will integrate into the DSS as part of the COLS team. However, for the short term all BA problems will be reported to PSM who will relay back to the BA. Any future changes will be reflected in this document)

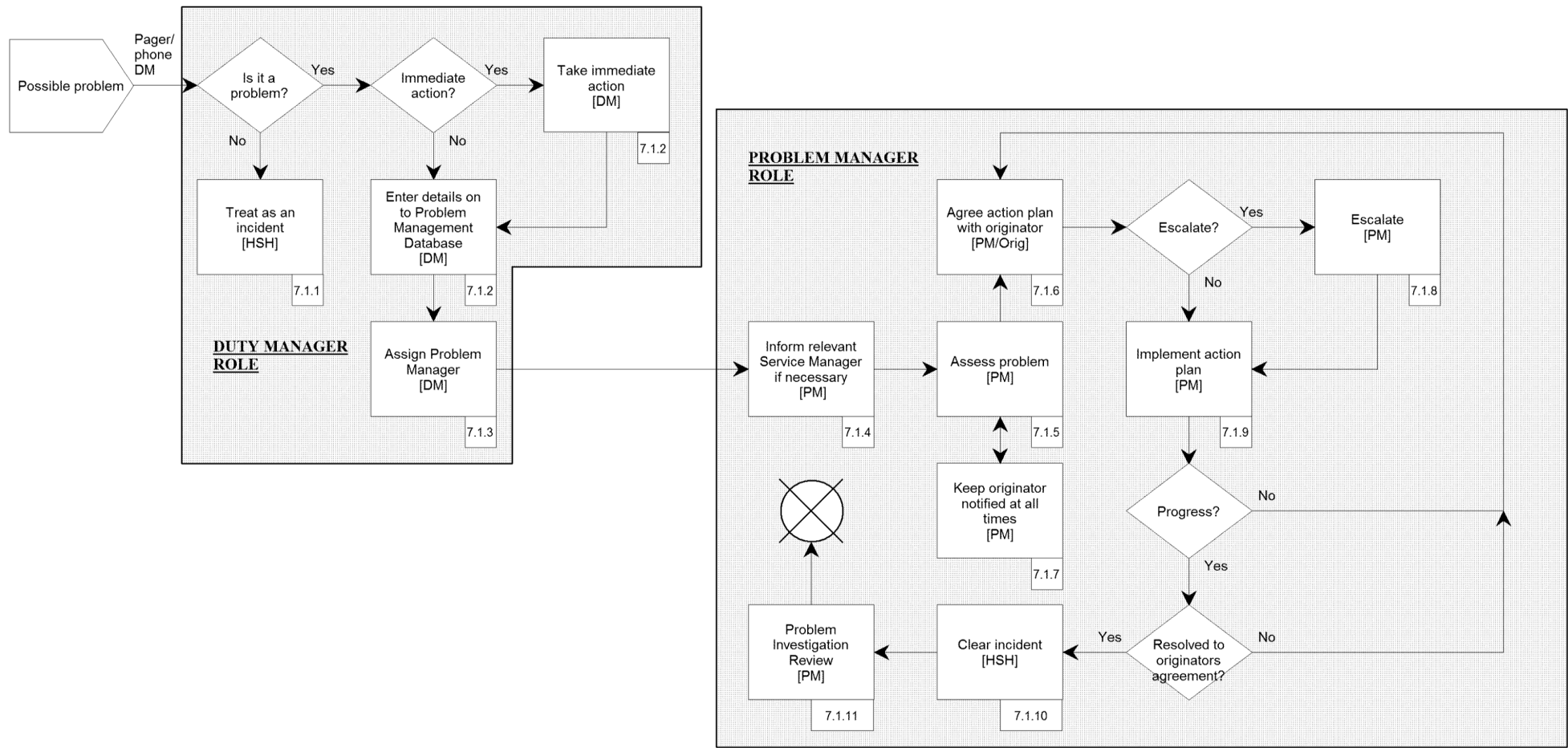
6 Deciding whether a problem exists.

When a possible problem is received by a Duty Manager or someone within the Service department, then a decision has to be made as to whether a problem exists or not. To help decide the following areas should be considered:

Areas of Consideration	Explanation
Business Impact	<ul style="list-style-type: none"> ■ Are there any reconciliation implications? ■ Is there any adverse publicity on Pathway? ■ Are there any possible effects upon the Release dates?
Time Scales	<ul style="list-style-type: none"> ■ How long would it take to resolve the situation given current resources?
Customer Dissatisfaction	<ul style="list-style-type: none"> ■ How dissatisfied are the customers and how widespread is the dissatisfaction?
Breadth of Problem	<ul style="list-style-type: none"> ■ Does the incident cover a small area, i.e. less than 10 Post Offices, or is the problem more spread i.e. a whole region?
Cost	<ul style="list-style-type: none"> ■ What is the cost to Pathway in order to resolve the incident? Would it greatly impact Pathway financially - does it have any effect on Pathway's budget?
Complexity	<ul style="list-style-type: none"> ■ What resources are required to resolve the incident? ■ Does resolution require input from a number of sources, possibly including external resourcing?
Security	<ul style="list-style-type: none"> ■ Does the incident have any security implications?
Impact on other organisation	<ul style="list-style-type: none"> ■ Will the incident impact other organisations such as BA or POCL. If so then they need to be informed

If the DM is in doubt as to whether an incident is a problem, then the incident should be resolved as problem.

7 The Problem Management Process Flowchart



7.1 Explanation of the Problem Management Process Flowchart

Once a 'problem' has been recognised through the Incident Management Process then the Problem Management Process is started.

7.1.1 The Duty Manager

Having diverted a call through its normal incident route (*see ref: "Horizon System Helpdesk Call Routing Table", Version 1.0, 30/05/97, for further information on routing*), the HSH will inform the DM of the possible problem.

On receipt of a possible problem from the HSH, the DM will find out the details of the incident and possibly make initial phone calls to the support units to help decide whether the incident requires 'problem' status. For example, there may be a situation where an 'A' priority deadline is approaching, but a resolution is in place that will take perhaps 30 minutes to an hour over the deadline. Would it be necessary to start off the Problem Management Process? As long as the parties concerned are all aware of the situation, and all in agreement, then the Problem Management Process can be avoided. If a potential problem is decided not be a problem, then the normal incident path is followed.

Once the DM has decided to action the Problem Management Process, all parties concerned will be informed. For example, if the call came in from ITSA, then ITSA will be informed that the Problem Management Process has been initiated.

7.1.2 Database recording

Having decided that a problem exists the problem will then be recorded on the Problem Management Database (See Section 10). If an 'Out of Hours' Duty Manager has responded to the call then the problem will be recorded at the earliest opportunity. It may also be the case that the Duty Manager must act on the problem straight away and does not have time to enter the details immediately on to the database. If this is the case then the details should be entered at the next available opportunity. (For more information on the Problem Management Database process refer to Section 10)

7.1.3 Appointment of Problem Manager

After deciding that a problem exists the DM will appoint the Problem Manager most capable of handling the problem. For example, any problems with the Payment Card Help Line should be managed by PCHL Service Managers. If they are unavailable or unable to manage the problem, then the DM will escalate the problem to the appropriate Customer Service Manager who will then help to decide who the Problem Manager will be. (Please see Section 9 for the role of the Problem Manager)

7.1.4 Inform Service Manager

If the problem has any cross-boundary implications then the Problem

Manager, who may not necessarily be the Service Manager, will inform the relevant Service Manager of the situation.

7.1.5 Assessment of the Problem

The PM will contact the assignee of the problem i.e. SSC or CFM, to gather as much information about the problem as possible. If the PM does not know who was assigned the problem, then the information can be retrieved from the HSH.

7.1.6 Agree Action Plan with the originator

Having gleaned as much about the problem as possible in the time available, the PM will agree a course of action with the originator. This will include update intervals, deadlines and, if necessary, agreed escalation levels.

7.1.7 Keeping Originator notified

It is imperative that the originator is kept informed about the problem at all times and not kept in the dark. This may be done pro-actively, through agreed regular update intervals, or re-actively when an unexpected twist occurs and the originator needs to be informed.

7.1.8 Escalation

If escalation is necessary the PM will escalate to the appropriate level. (See Section 11 for more details on escalation)

7.1.9 Implement Action Plan

Following discussions with the originator the PM will implement the agreed action plan. It may be just a co-ordinating role, or it may just require updating the originator through the agreed times.

If no progress is being made and it is found that the agreed deadlines are not going to be reached then the problem should be escalated. If necessary this process is continued to the highest level of escalation.

7.1.10 Problem Closure

When the problem has been resolved to the satisfaction of all parties then the problem/incident can be cleared and closed. Once the HSH have closed the original incident the related problem can also be closed by the PM on the Problem Management Database

If the problem is not resolved to the satisfaction of all concerned parties, then it is necessary to find out why and to restart the Problem Management Process.

7.1.11 Problem Investigation Review

Following the resolution of a problem the PM should carry out a review of the problem in order to understand what went wrong to cause the problem, and what is to be done to stop the problem re-occurring. The same problem should not occur again. This information should be entered into the database upon closure of the problem. (For more information on PIR refer to section

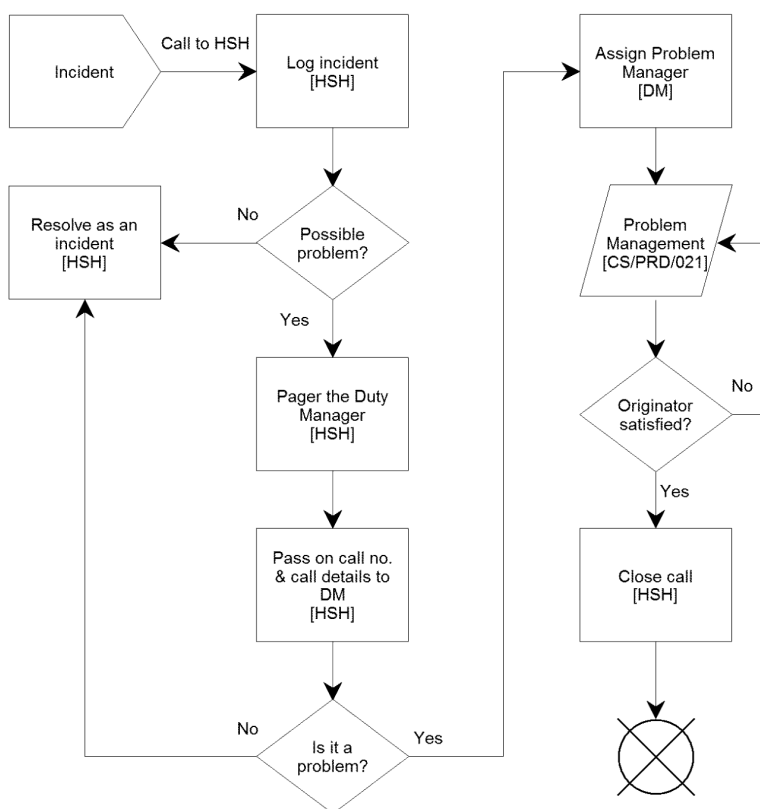
9.1.6)

Important: Throughout the life of a problem, the PM must keep the Problem Management Database updated at all times to reflect the latest situation.

8 The Duty Manager

The daily Duty Manager role will be undertaken by Service Managers in Customer Service Operations between the hours of 0800-1800 Monday to Friday and will be contacted on the Duty Managers pager.

The OOH (Out of Hours) Duty Manager role will cover ALL other hours (1800-0800 Monday-Friday and 1800 Friday to 0800 Monday).



8.1 Duty Manager Role

- Whenever the HSH receive a call that is perceived as a possible problem the Duty Manager is paged. On being paged the DM contacts the HSH to find out all the details of the call and the call number. The DM then decides if the call is a problem. If not then it will be dealt with through the normal incident management guidelines.

Note: If the DM can not be contacted, then the HSH should call a member of the Pathway Service Management team.

- If it is a problem then the DM will initiate the Problem Management process. This starts by logging the call on to the Problem Management Database and assigning a Problem Manager to the problem (this could even be the DM). The Problem Management Process is then implemented. Once the problem is resolved to the originators approval the HSH will close or clear the call.

8.2 Evening / weekend Shift proposal

- It is proposed that there will be one mobile phone for the evening / weekend DM. Therefore, even if it is not known who the DM is, by ringing the one number, the DM on duty will always be contactable.
- The duties of the 'out of hours' DM will be the same as the daily DM. However, it is envisaged that they will be involved more as Problem Managers due to the hours they will be working and the fewer number of personnel being available as Problem Managers.

8.3 Duty Manager Change Over

- It is proposed that if a DM who is about to end their shift has any outstanding problems or issues, then these should be passed on to the relieving DM. The main reason for this is to avoid confusion as to who to contact if two DM's are on at the same time. Also, the resolution to a problem might not be foreseeable in the near future and it is therefore more practical for a DM to hand over an issue rather than see it through.
- The relieving DM will be contacted via the DM mobile phone if an 'out of hours' DM, or paged if a 'working day' DM.

Note: For the DM Terms of Reference see Appendix 6

9 The Problem Manager

The role of the Problem Manager (PM) is to co-ordinate the resolution of a problem.

9.1 Duties

The Problem Manager will be appointed by the DM after an incident call has been identified as a problem.

He/she will act as the point of contact for everyone involved with the problem.

9.1.1 Assess problem

Having been assigned a problem, the Problem Manager will contact the parties that have been assigned with the problem. Amongst others, this might be SMC, SSC or CFM. It is the responsibility of the PM to obtain all the information that is necessary in order to help develop a plan of action.

9.1.2 Agree course of action with originator

Having assessed the problem, the PM can agree a course of action with the originator. The plan should include time scales and, if necessary, escalation procedures.

The time scales will encompass regular updates to the originator and a proposed deadline for the problem to be resolved.

If escalation is required then the PM will make sure that all parties on the escalation ladder are informed (See Section 11). The PM should also escalate to the same level that the problem originator has escalated to.

The agreed action plan should also look to develop a plan of 'corrective action' to ensure that the problem is not repeated.

9.1.3 Update problem on Problem Management Database

All events relating to the problem should be captured onto the Problem Management Database which will already have a record of the problem set up in it. The Problem Manager will regularly update the database as necessary so that the latest events are always depicted for anyone enquiring on the problem.

9.1.4 Keeping all parties aware

Many parties / 'expert domains' (internal to Pathway or external) may be involved in the resolution of a problem. The Problem Manager is responsible for obtaining updates from all the parties, and also to keep the parties aware of the latest events. It could be compared to leading a team with everyone having the same objective and working towards the same goal i.e. the resolution to a problem.

If it is recognised that the resolution of a problem is going to exceed its deadline date, the Problem Manager will discuss with the originator a new course of action. Again, this might require escalation.

9.1.5 Seeking originators approval

Once a problem has been resolved the Problem Manager will check that the originator agrees with the solution. If the originator does not agree that the problem has been resolved satisfactorily, then the PM must sort out the problem with the originator, and if necessary, agree a new course of action. The above process is then repeated.

[DN: If an agreement can not be reached then an arbitration route should be available to resolve any dispute. This is to be developed for the next issue]

9.1.6 Problem Investigation Review

Having resolved a problem, the PM should carry out a Problem Investigation Review (PIR). This is necessary for a number of reasons:

- An understanding as to why the problem occurred.
- To determine whether the problem was resolved as efficiently as possible.
- Could anything have been done to resolve the problem more quickly?
- Were the correct resources used?
- Were the right people involved and informed?
- Was the problem originator happy with the way the resolution was reached?

The Problem Manager should comment on the following areas, and attach the comments in to the database problem on closure of the problem.

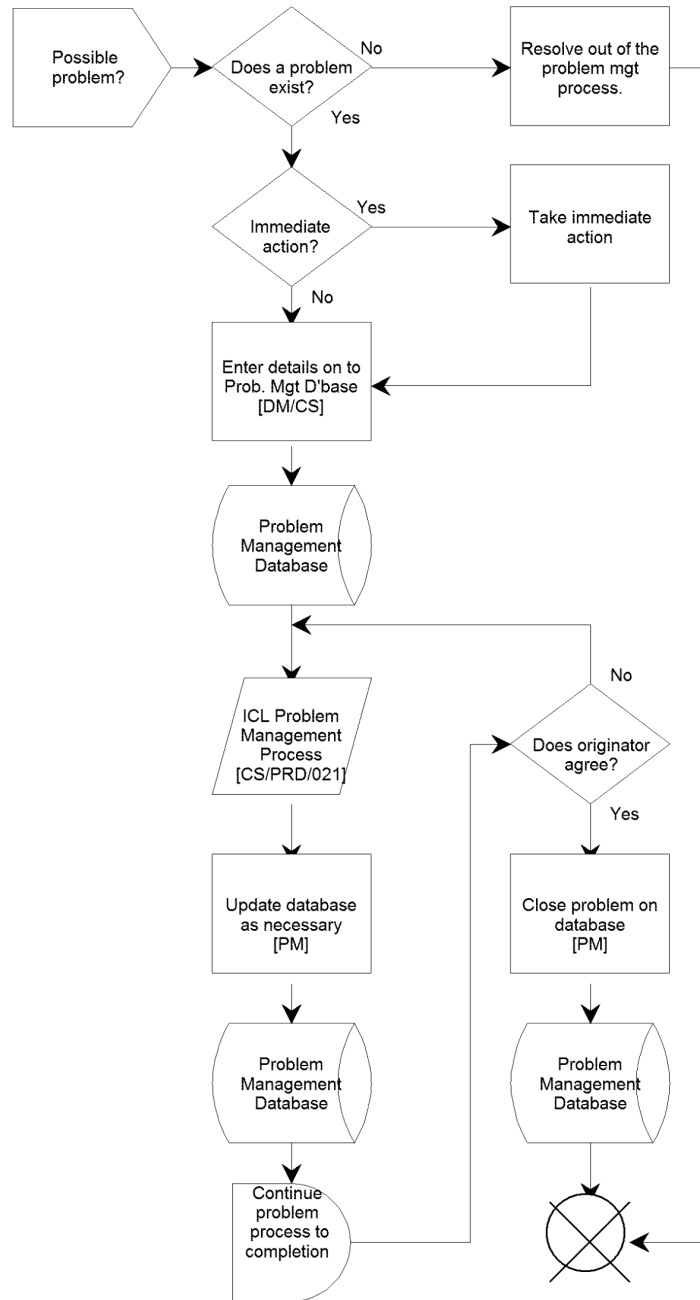
- What was the problem;
- Reason for the problem;
- Action taken to resolve the problem;
- What actions have been taken to stop the problem from re-occurring;
- Any other comments.

Note: A PIR can also be called by the originator. For example, if CAPS had raised a problem they might arrange a meeting, with those involved in the resolution of the problem, to understand what went wrong and what has been done to stop it happening again. The details of such a meeting should then be linked into the database.

9.1.7 Close problem

Once a problem has been resolved to the originators agreement, and the originator agrees that it can be closed, the HSH will close the related incident on the Powerhelp system. The PM will close the problem on the Problem Management Database.

10 The Problem Management Database



- Once it has been decided that a problem exists the DM will enter the details of the problem on to the Problem Management Database. The only exception to this being if a problem needs to be dealt with immediately. This being the case then the details will be entered on to the database following completion of the immediate action.

10.1 Advantages of a database

1. The storage of problems will enable users to retrieve quickly and easily problems that have occurred in the past
2. A number of users can use the database at the same time
3. Use of the database will help stop the duplication of problems
4. Trends can be identified, and action can then be taken to investigate these trends.
5. Statistical analysis can be carried out. For example, the average duration of a problem, or the average number of problems arising each week.
6. The database can also be used as a tool to identify which problems are being dealt with by specific problem managers, and therefore help to decide who to assign to new problems that may arise.
7. The database can help with weekly/monthly problem reviews.

10.2 Keeping the database updated

- Once the details of the problem have been entered into the database the DM will nominate a Problem Manager. Following nomination, the Problem Manager will be entered on to the database as the new owner of the problem.
- The Problem Management Process will then begin. Throughout the life of the problem, the Problem Manager will constantly update the problem within the database so that the database always reflects the current situation. Review dates should be set on the database record to signify when an update might be expected.

The reason for this is so that anyone needing to know the current progress of a problem will be able to find out via the database without having to contact the Problem Manager who may not even be available.

- A problem will only be closed on the database once the Problem Manager has gained the approval of the problem originator that the problem has been solved satisfactorily.

10.3 Problem Management Database Priorities

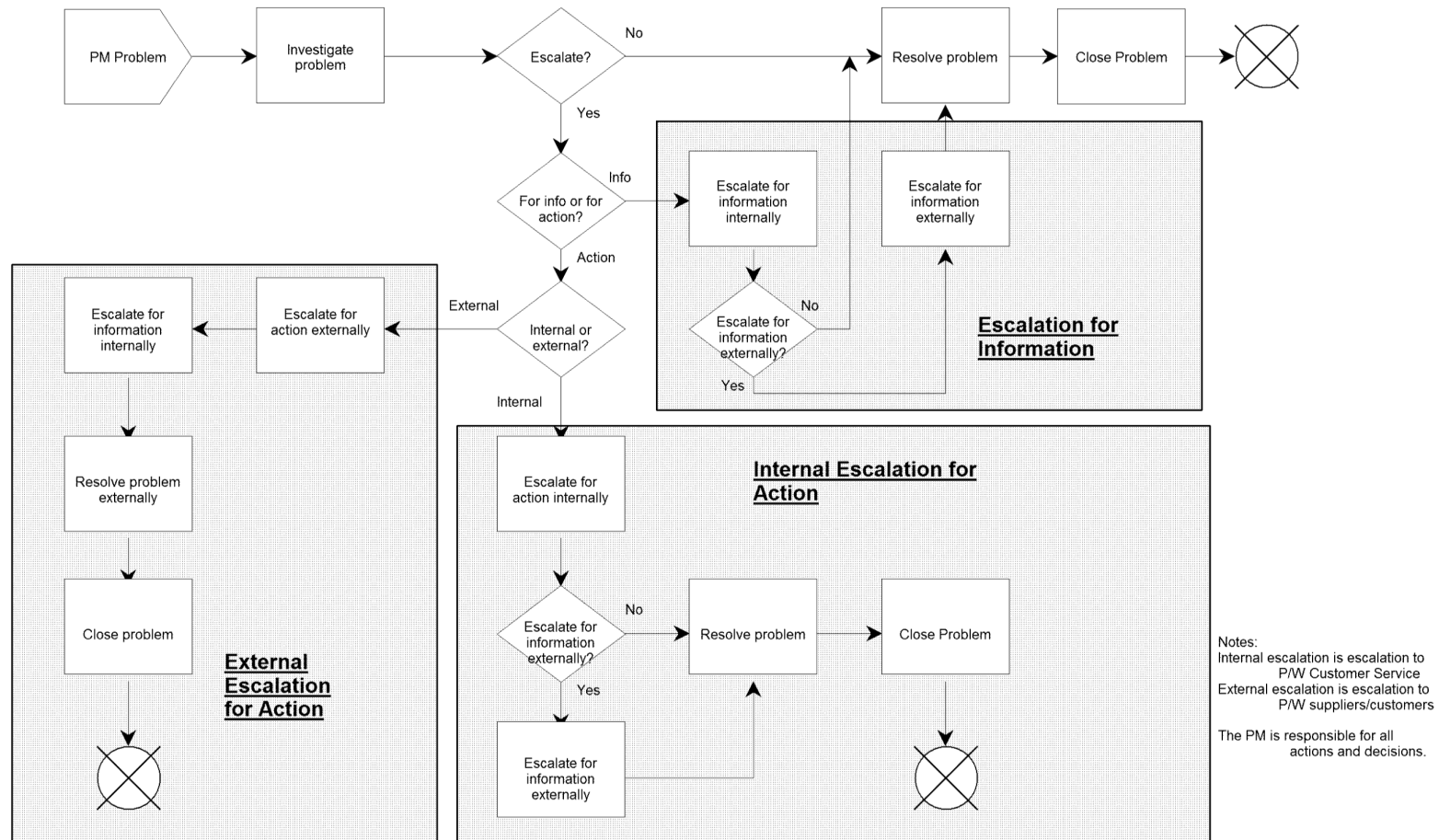
The database user must assign a priority to every problem entered into the database. The Problem Management Database priorities (A,B,C) should not be confused with the HSH incident priorities (A,B,C & D). They are different and should not be perceived as having the same meanings. In most cases, problems are related to a number of Post Offices having a problem rather than a single Post Office.

Priority 'A' - a problem that requires immediate attention. As with the incident priority it can be 'BUSINESS STOPPED' as a result of a Post Office, or a number of Post Offices, being down and unable to use the Horizon System for business. Or a central system failure which will result in a number of Post Offices being unable to process work. An 'A' priority will warrant the problem being escalated to senior management. Whenever an 'A' priority is assigned on the database, an e-mail will be sent to the Customer Service Director and the Direct Reports, informing them of the problem.

Priority 'B' - a problem that requires immediate attention but does not need to be escalated to a higher level.

Priority 'C' - non-urgent issues that require a Problem Manager to manage them to resolution. The default for every new problem is 'C'.

11 The Escalation Process



11.1 Escalation Internally

It is important to note that escalation within Pathway and the problem originators domain should always be running in parallel. So, for example, if De La Rue called the HSH with a problem that required escalation and they said it had been escalated to a senior manager, then Pathway should be escalating to the same level. The reason for this being that the senior manager in De La Rue might contact his/her equivalent in Pathway, and it is always 'better practice' for a manager to be aware of a problem from their own sources rather than hear it from the organisation where the problem originated from.

This should also be the case even if Pathway have assigned a low severity level to a problem. So if, for example, a problem came in to the HSH and is assigned a Severity Level 5 (see Section 11.3.1), then the problem would not normally be escalated to the Duty Manager. However, if the problem was escalated to a higher level within the problem originators organisation, then escalation should be paralleled within Pathway.

11.1.1 Escalation for Action

Escalation for action can occur in two ways.

1. When the PM first receives a problem and has to make a decision whether to escalate.
2. When the PM, after attempting to resolve a problem, falls into difficulties and again has to make a decision whether to escalate.

In both of the above situations, the PM will 'escalate for action' if:

- he/she does not know how to resolve a problem, or
- there are 'barriers' stopping the PM resolving the problem, and it requires a higher authority to help overcome it.
- a decision needs to be made by a higher authority
- in a 'disaster' situation, decisions might have to be made at

ICL

board level.

11.1.2 Escalation for Information

Escalation for information should be to: Operations Service Manager;
Service Management ;
Customer Service Director.

Escalation for information can occur in two ways:

- Firstly, when ever a problem is entered in to the Problem Management Database as an 'A' priority (see Section 10), the Customer Service Director and the Direct Reports are e-mailed automatically so that they are aware of the problem. However, this is then dependent upon the Director and the Direct Reports reading their e-mail for them to be aware of the problem.
- Therefore, and secondly, in some cases, it will be necessary to make sure

that the above managers are immediately aware of a problem. So as well as an e-mail being sent, it will be necessary to contact them personally so that they are immediately aware of an urgent problem.

It is the decision of the PM to determine when to escalate for information. Examples of escalation for information might include:

1. PCHL/HSB not available to customers for a period in excess of 15 minutes.
2. More than 10 Post Offices are unable to communicate with the central suite of systems for a period in excess of 60 minutes.
3. Problems that affect more than 25 beneficiaries or more than 10 Post Offices

11.2 Escalation Externally

'When escalating any issue externally, it is good practice to inform the authority concerned and PDA that the issue has been escalated within own organisation and to what level. This practice prevents perceived lack of communication. In addition, the escalating authority should state what action (escalation for action) they require or why they are escalating the issue concerned (escalation for information).'

- SCOP Version 2.1, P16, Para 5.2.6

11.2.1 Escalation for Action

When a PM decides that a problem needs to be dealt with externally, then there is an option to follow one of two paths.

Escalation can either be to the PDA (now PSM) who currently act as a liaison between Pathway and POCL / BA. From here the PSM will then escalate the problem to the other parties or deal with the problem themselves if they impact the customer.

If escalation is not through the PDA then it will be directly to the other parties. i.e. directly to Royal Mail, Energis etc.. However, any problems escalated externally, not through the PSM, should be escalated to the PSM as 'information' if they impact the customer.

11.2.2 Escalation for Information

Any problem that has any repercussions outside of Pathway will be escalated to the PDA for 'information' who act on behalf of the Post Office and the Benefits Agency. The PDA will then inform the relevant parties. However, escalation to the PDA should always follow internal escalation.

11.3 Escalation Call Matrix

However the escalation process is defined, particularly at a high level basis, it does not explain who, where, when or how to escalate to in particular situations.

For example, if there was a problem with a server:

Who should be informed of a problem?

Are they internal or external parties?

Who should be escalated to for information or for action?

When should escalation take place?

To help with these questions, an escalation matrix document is under development to help the Problem Manager in decision making. A Problem Manager can use the escalation process chart as a guide but it can not be used to make specific decisions, and in certain situations a Problem Manager may not always know the answers.

Appendix 4 gives an example of the proposed escalation matrix that can be used by the Problem Managers to help make decisions as to when to escalate and who to escalate to.

For each supplier/customer a matrix will be developed. Each matrix will house all potential problems that could arise from that particular supplier or customer.

Each potential problem will be allocated a 'Severity Level' which determines the level of escalation to be achieved. (See Section 11.3.1) By each potential problem and severity level there will be a brief guide that will list possible courses of action the Problem Manager might wish to take in order to resolve the problem as quickly and effectively as possible.

The escalation matrix document will also incorporate the:

- Customer Red Alert Process - *'... a co-ordinated response by ICL to a situation of extreme customer dissatisfaction... '*
- Disaster Recovery Plan that contains procedures to be followed in the event of a disaster within the Pathway Structure.

[DN: A draft escalation matrix document will be available in the near future. In order to populate the escalation matrices, the next task is for Pathway's suppliers/customers to provide Pathway with all possible problems. Each matrix can then be developed so that for every problem the required severity level can be set, and a guide of possible actions can be developed.

The matrix also needs an owner. This is yet to be established.]

11.3.1 Severity Levels

The Severity Levels will range from 1 - 5. These also correspond with the escalation levels as defined in the SCoP.

The following escalation routes have so far been proposed. Please note however, that they could change.

Level	Escalation
1	HSH 'A/B' priority. (Treat as a normal 'A' or 'B' priority incident.)
2	HSH urgent 'A' priority. Immediate escalation to Duty Manager.
3	HSH urgent 'A' priority. Immediate escalation to DM. DM escalates to Customer Service Managers.
4	HSH urgent 'A' priority. Immediate escalation to DM. DM escalates to Customer Service Managers & Customer Service Director
5	HSH urgent 'A' priority. Immediate escalation to DM. DM escalates to Customer Service Managers & Customer Service Director Customer Service Director escalates to ICL Pathway Director. ■ Possibly start an Orange / Red Alert procedure

■ Severity Level 1 being the lowest level of action required. E.g. escalation will only be invoked if an incident raised with the HSH is going to breach its agreed SLA times.

■ Severity Level 5 could invoke an immediate Orange or Red Alert action.

Orange alert enables the "raiser" to identify a resource in the same business division to meet a problem situation

"A Customer Red Alert (CRA) is a co-ordinated response by ICL [Group] to a situation of extreme customer dissatisfaction or distress. It provides special management attention and rapid deployment of resources to solve the problem quickly and effectively."

- ICL Customer Red Alert Handbook, Issue 4 - July 1997

Alerts have their own database and must be maintained with daily updates. Please see alert manuals for further information.

Note: The Severity levels are used as initial entry levels for incidents raised with the HSH. Therefore, an incident raised as a Severity Level 1 could also end up bringing into a play an alert procedure. The severity levels help to

determine the initial action to be taken with a problem. They do not explain what action is to be taken later on in a problems life cycle. For example, it might be the case that a problem, initially allocated a severity level of 1, needs to be escalated as the solution was ineffective and the problem has become more urgent.

Appendix 1**Escalation Levels**

Source: PDA Service Management - Service Code of Practice

Ref: **PDA / SVM / CP / 001**

Version 2.1, Page 98

Escalation level	Level 1	Level 2	Level 3	Level 4	Out of Hours
ICL Pathway	HSH Manager	Duty Manager	Service Manager	Customer Service Director	Duty Manager
	Tel: GRO	Pager: GRO Fax: GRO	Tel: GRO	Tel: GRO	Not known yet

Appendix 2**Contact points to external / internal authorities.**

Authority	Contact Name/Position	Telephone Number
De La Rue Cards	Pathway Project Manager (Rob Elliss - to be confirmed)	GRO
De La Rue Security Print	Office Systems Manager (Graham Clarke - tbc)	tbc
Oracle	SSC Manager (Mik Peach)	GRO
Payment Card Helpline	PCHL Service Development Manager (Dave Wilson)	GRO
SSC	SSC Manager (Mik Peach)	GRO
SMC	SMC Manager - (Derek Miles), else the Duty Shift Manager	GRO
POCL Service Management	POCL Service Management team	GRO
COLS	COLS	GRO
Royal Mail	Pathway Programme Manager (Paul Kennedy)	GRO

Note:**De La Rue**

De La rue Cards should be contacted with regard to any potential card problems e.g. if a problem resulted in the file of card orders not being sent, or Royal Mail went on strike and could not pick cards up.

De La Rue Security Print should be contacted with regard to any potential problems regarding temporary tokens.

Appendix 3

Horizon System Help Desk Key Words

'To help the HSH operator determine whether a call is escalated to the Duty Manager, a set of key words have been developed. If any of these key words are mentioned by the caller, then the call is assigned an 'A' priority code and the DM will be contacted via the pager. '

The key words include:

Business Critical

Critical

Severity 1

Priority 1

Reconciliation*

Immediate Priority

'Contingency' suggested

* Reconciliation calls are currently in the process of being added in to the HSH Call Matrix

ICL Pathway

ICL Pathway Problem Management
Process

CS/PRD/021
1.2
25/05/98

Appendix 4

Escalation Matrix for:

PCHL

		SEVERITY LEVEL	GUIDE
1	Helpdesk down for more than 15 mins.	4	Inform PDA that PCHL is down. Make sure other Help Desks are aware that PCHL is down. Check with SSC and CFM as to problem. Agree course of action with PCHL.
2	Bootle site is inoperable	3	Following discussions with senior management and PCHL, possibly look to invoke contingency.....
3	Shortage of staff to man help desk	4

Appendix 5**HSH incident to Problem Management Time Scales (tbc)**

STEP	ACTION	AVERAGE TIME TAKEN (Mins)	CUMULATIVE TIME TAKEN
1	Call to HSH	0	0
2	Telephone Call	4	4
3	General administration	4	8
4	Inform HSH Shift leader / Senior TSA	2	10
5	Shift leader / Senior TSA pager the Duty Mgr	1	11
6	Duty Manager calls HSH to investigate	5	16
7	Duty Manager decides if it is a problem	10	26
8	Duty Manager logs call on to database	5	31
9	Duty Manager assigns Problem Manager	9	40

The above table looks at the situation where a call that is made to the HSH is escalated immediately to the DM. Please note that escalation to the DM could also occur after the SLA's for action times for both 'A' and 'B' priorities have elapsed. For example, an 'A' priority hardware fault should be fixed within 4 hours. If the 4 hour deadline is to be breached then the DM will be informed.

Note: The above times are an approximation. Urgent problems could reach the Problem Manager more quickly. It could be the case that the Duty Manager acts as the Problem Manager, therefore cutting 10 minutes out of the process.

Appendix 6

Terms of Reference for Duty Manager

Times of Operation Start 0800 Mon- 0759 Mon ie 24hr/7days

Normal Day Location Feltham Office (Fel01)

Continuous Availability SPOC (Single Point of Contact) for Daily
Issues/Problems/Escalation

Continuous updates with HSH

Duty Manager Rota with HSH

Pager Contact

Appointment of Problem Managers as per Problem Manager Process

Duty Manager Book containing Process's/Contacts/Names/Telephone
Numbers/Escalation Routes

USEFUL TELEPHONE NUMBERS

HSH-Horizon System Helpdesk ITN GRO

	ITN	MOBILE	HOME
Suzanne Breen Dave Campbell Vince Cochrane Andy Muse	GRO	GRO	GRO
OPERATIONS. Alex Nicholson Martin Riddell Mike Stewart	GRO	GRO	GRO

Appendix 7**ICL Pathway Service Managers**

Service Manager	Services to:	Services from:
Paul Curley / Martin Molloy	POCL	HSH SMC Systems Service POCL
John Wright / Jeremy Lindegaard Stewart	BA	Girobank (PCHL) De La Rue Royal Mail

Paul Curley and Martin Molloy

- services to POCL
- services from Horizon System Helpdesk, from SMC second-line support, from Systems Service (i.e. engineers from Sorbus) and from POCL (i.e. service provided by POCL in relation to cards - booking them in etc.)

John Wright and Jeremy Lindegaard-Stewart

- services to BA
- services from Girobank (Payment Card Helpline), from De La Rue (Cards/PUNs/Temporary Tokens production) and from Royal Mail (delivery of Cards/PUNs/Temporary Tokens)