Incident Management

Information Technology

Unit name goes here

Process Description

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# Contributors

The following people have contributed to the production of this Process Description, either through involvement in Workshops and/or reviewing the subsequent draft descriptions.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| NAme | Name | NAme | Name | Name |
| Helena Bampton | Joy Charnley | Julie Jaszwinski | Kai McGowan | Mark Steele |
| Richard Bell | Mark Collett | Richard Jolliffe | Sheila Millican | Duncan Taylor |
| Ian Bland | John Gates | Dave Jones | Regina Mwangi | Mary Weller |
| Luke Chapman | Steve Gough | Anton Lawrence | Mary Seddon |  |

# Version control

[Incident Management Document Folder](file:///\\collab.rdg.ac.uk\its-i\ITS%20Project%20Support\Enabling%20Technology\3-01b%20-%20IT%20Management%20Process%20Phase%203\Process%20Deliverables\Detailed%20Processes\Incident%20Mgt)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Version | Edited by | Reviewed by | Approved by | date |
| 0.1 | - | Workshop Group | - | - |
| 0.2 | - | Mark Collett | - | - |
| 0.3 | - | - | Mark Collett | 10/7/2015 |
| 1.0 | - | - | John Leary | 12/08/2015 |
| 1.1 | Mark Steele | - | - | 18/05/2016 |
| 1.2 | Luke Chapman | Workshop Group | Workshop Group | 25/07/2016 |
| 1.3 | Luke Chapman | Mark Steele |  | 01/08/2016 |

# Next Process review

The next Process Review is scheduled for 15th December 2016.

# Purpose

This document is a description of the Incident Management Process, designed to give actors within the Process the knowledge and understanding required to carry out their duties in a controlled manner.

## Process Owner

The Process Owner for this process is the Service Desk Manager.

## High Level Overview of the Process

[Visio Diagram (Level 0 & 1 Processes)](file:///\\collab.rdg.ac.uk\its-i\ITS%20Project%20Support\Enabling%20Technology\3-01b%20-%20IT%20Management%20Process%20Phase%203\Process%20Deliverables\Detailed%20Processes\Level%201%20Processes)

## Goals and Objectives

Incident Management aims to manage the lifecycle of all Incidents. The primary objective of Incident Management is to return the IT service to users as quickly as possible and minimise the adverse impact on business operations, ensuring that agreed levels of service quality are maintained.

The objectives of the Incident Management process are to:

* Ensure that standardised methods and procedures are used for efficient, effective and prompt response, analysis, documentation, ongoing management and reporting of incidents
* Increase visibility and communication of incidents to business and IT support staff
* Enhance business perception of IT through use of a professional approach in quickly resolving and communicating incidents when they occur
* Align Incident Management activities and priorities with those of the business
* Maintain user satisfaction with the quality of IT services
* Ensure IT staff have the correct knowledge and understanding required to carry out their duties in a controlled manner

## Key Performance Indicators

This is currently work in progress and will be developed further.

|  |  |  |
| --- | --- | --- |
| KPI/Metric | KPI | Definition |
| KPI | Mean Incident Resolution Time | Average (Mean) time for resolving an incident, grouped into services. |
| KPI | Mean Breached Incident Resolution Time | Average (Mean) time for resolving an incident which has breached the SLA, grouped into services. |
| KPI | Incidents resolved Remotely | Number of Incidents resolved remotely by the Service Desk. |
| KPI | Number of Critical Incidents | The number of all incidents that has been classified as a Critical Incident, shown as a percentage of all incidents. |
| Metric | Number of Incidents | Number of incidents registered by the Service Desk, grouped into services. |
| Metric | Incidents Resolved within SLA | Rate of incidents resolved during resolution times agreed in SLA, grouped into services. |
| Metric | Number of Breached Incidents | Number of incidents not resolved in the agreed resolution time. |
| Metric | Incident Resolution Effort | Average work effort for resolving Incidents grouped into services. |

## Interdependencies

| PRocess | Internal/External | Dependencies |
| --- | --- | --- |
| Change | Internal | Incident Management can raise RFCs to resolve an Incident.  Poorly executed Changes can result in Incidents. |
| Service Level Management (SLM) | Internal | SLM sets the performance targets by which Incidents are to be resolved. |

## Roles and Responsibilities

|  |  |
| --- | --- |
| Role | Role Description |
| Process Owner/Incident Manager | The Process owner is responsible for ensuring that a process is fit for purpose and the design, and continual improvement of the process and its metrics. The Process Owner also provides a governance role for when an Incident becomes blocked within the process. |
| Service Desk Analyst | The Service Desk Analysts act as a link between the User and the IT organisation. They log any incoming Incidents and ensure that Incidents are resolved where possible, or assigned to the correct Resolver Team. |
| Resolver | The Resolver(s) are responsible for resolving any Incidents assigned to them, or escalating to the correct team when they cannot resolve. |
| User | The User raises an Incident and also confirms that the Incident has been resolved satisfactorily. The User should make themselves available to assist. |

## Supporting Documents

|  |  |
| --- | --- |
| NAme | Link |
| Incident Criteria (Impact/Urgency Matrix) | [IT Incident Criteria](file:///\\collab\its$\Processes\Incident%20Management\Incident%20Criteria%20v0%2010.docx) |
| Incident Categories | Document to follow |
| Service Catalogue | [Service Catalogue Webpage](http://www.reading.ac.uk/internal/its/services/sercat2016.aspx) |
| Incident Management Report Template | Document to follow |

# Detailed Descriptions

## Incident Logging and Classification

The aim of this sub-process is to record, categorise and prioritise the Incident by working with the user to understand the symptoms that are being exhibited, the equipment that is affected, its location and any other pertinent information, in order to facilitate a swift and effective resolution.

[Visio Diagram (Incident Mgt Detailed Process)](file:///\\collab.rdg.ac.uk\its-i\ITS%20Project%20Support\Enabling%20Technology\3-01b%20-%20IT%20Management%20Process%20Phase%203\Process%20Deliverables\Detailed%20Processes\Incident%20Mgt)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| N | Actor | Activity Description | Process input | Process output |
| 1 | Service Desk Analyst | The Incident is logged into the ITSM toolset and an Incident Record is created. | Incident Notification | Incident Record |
| 2 | Service Desk Analyst | Based on questions asked to the User and existing knowledge, the incident must be categorised to ensure that it can be correctly routed. | Incident Categories,  Incident Record | Categorised Incident Record |
| 3 | Service Desk Analyst | The Impact and Urgency of the Incident must be recorded into the incident. This sets the priority of the Incident based on a standard Priority matrix. | Impact and Urgency Criteria,  Priority Matrix | Categorised & Prioritised Incident Record |
| i |  | Does the Incident qualify as a Critical Incident? If yes, invoke the Critical Incident Management Process. If not, continue. |  |  |

## Incident Resolution

The aim of this sub-process is to resolve an Incident within the agreed timescales. As soon as it becomes clear that 1st Level Support is not able to resolve the Incident itself, the Incident is transferred to a suitable team. This escalation can continue until the incident has been resolved.

**Note: Communication with the Users happens throughout this sub-process, but have been excluded from the process flow above, so as not to confuse the picture.**

[Visio Diagram (Incident Mgt Detailed Process)](file:///\\collab.rdg.ac.uk\its-i\ITS%20Project%20Support\Enabling%20Technology\3-01b%20-%20IT%20Management%20Process%20Phase%203\Process%20Deliverables\Detailed%20Processes\Incident%20Mgt)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| N | Actor | Activity Description | Process input | Process output |
| 1 | Service Desk Analyst | If necessary, the Analyst can carry out further investigations into the symptoms of the incident. | Categorised & Prioritised Incident Record or Reopened Incident | Diagnosed Incident |
| i | Service Desk Analyst | Can the incident be fixed by 1st Line? If yes, go to 2. If not, go to 4. |  |  |
| 2 | Service Desk Analyst | The Analyst should try to resolve the issue using all reasonable efforts. | Diagnosed Incident |  |
| ii | Service Desk Analyst | Has the incident been resolved? If yes, go to 3. If no, go to 4. |  |  |
| 3 | Service Desk Analyst | The status of the Incident Record must be changed to “Resolved.” With resolution information recorded as appropriate. | Diagnosed Incident | Resolved Incident |
| 4 | Service Desk Analyst | The Incident record should be assigned to the next level of support. | Diagnosed Incident | Reassigned Incident |
| 5 | Resolver | The Resolver should carry out further investigations into the symptoms of the incident, if required. | Categorised & Prioritised Incident Record | Diagnosed Incident |
| 6 | Resolver | The Resolver should try to resolve the issue using all reasonable efforts | Diagnosed Incident |  |
| iii | Resolver | Has the incident been resolved? If yes go to 3. If no, go to 7. |  |  |
| 7 | Resolver | The Incident record should be assigned to the next level of support. The flow returns to 5. | Diagnosed Incident | Reassigned Incident |

## Incident Closure and Evaluation

To submit the Incident Record to a final quality control before it is closed. The aim is to make sure that the Incident is actually resolved and that all information required to describe the Incident's life-cycle is supplied in sufficient detail. In addition to this, findings from the resolution of the Incident are to be recorded for future use.

[Visio Diagram (Incident Mgt Detailed Process)](file:///\\collab.rdg.ac.uk\its-i\ITS%20Project%20Support\Enabling%20Technology\3-01b%20-%20IT%20Management%20Process%20Phase%203\Process%20Deliverables\Detailed%20Processes\Incident%20Mgt)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| N | Actor | Activity Description | Process input | Process output |
| 1 | Service Desk Analyst | The User must be informed that the incident has been resolved and enquire whether they are happy with the resolution. (Currently automated) | Resolved Incident |  |
| 2 | User | The User should indicate whether the resolution has indeed resolved their issue. | Resolved Incident | Resolved Incident |
|  | Service Desk Analyst | Has the User replied to say there are still issues, or has 5 days elapsed since they were informed of the resolution. If yes, go to 3. If no, go to 4. |  |  |
| 3 | Service Desk Analyst | Close the Incident. (Currently automated) | Resolved Incident | Closed Incident |
| 4 | Service Desk Analyst | Re-open the Incident and assign to a Resolver Team. | Resolved Incident | Re-opened Incident |

## Incident Management Process Reporting

It is important that Incident reports are produced by the Process Owner, shared and analysed by process stake holders in a timely manner.

[Visio Diagram (Incident Mgt Detailed Process)](file:///\\collab.rdg.ac.uk\its-i\ITS%20Project%20Support\Enabling%20Technology\3-01b%20-%20IT%20Management%20Process%20Phase%203\Process%20Deliverables\Detailed%20Processes\Incident%20Mgt)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| N | Actor | Activity Description | Process input | Process output |
| 1 | Process Owner | The Incident data must be analysed and KPIs produced. Time should be taken to understand the results before any reporting is done. | Incident Data,  KPI metrics | KPI data |
| 2 | Process Owner | The Incident Management report must be produced using the defined template. Particular focus should be given to providing a narrative to explain the KPIs. | KPI Data,  Report Template | Incident Management Report |
| 3 | Process Owner | Issue the report within agreed timescales to process stakeholders. | Incident Management Report | Issued Incident Management Report |
| 4 | Process Owner | Any issues or actions identified in the report must be followed up. | Incident Management Report |  |

## Critical Incident Management

The aim of Critical Incident Management (CIM) is to resolve a Critical Incident. Critical Incidents cause serious interruptions to business activities and must be resolved with greater urgency. The aim is the fast recovery of the service, where necessary by means of a Workaround. If required, specialist support groups or third-party suppliers (3rd Level Support) are involved.

[Visio Diagram (Incident Mgt Detailed Process)](file:///\\collab.rdg.ac.uk\its-i\ITS%20Project%20Support\Enabling%20Technology\3-01b%20-%20IT%20Management%20Process%20Phase%203\Process%20Deliverables\Detailed%20Processes\Incident%20Mgt)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| N | Actor | Activity Description | Process input | Process output |
| 1 | Incident Manager | The Incident Manager must assign the Critical Incident to someone with appropriate skills to effectively resolve the incident. | Critical Incident Managers List | Assigned Critical Incident |
| 2 | Critical Incident Manager | The Critical Incident Manager must quickly bring together a team that will work to resolve the incident. | Staff Skills Matrix | Established Team |
| 3 | CIM Team | The CIM Team will work quickly to analyse the incident and understand the symptoms. | Incident Record | Record updates |
| 4 | CIM Team | An Action Plan is devised with owners for each action that explains how the Team will work to resolve the incident. | Record Updates | Action Plan |
| 5 | CIM Team | The CIM Team will then act upon the plan, completing the actions assigned to them. | Action Plan | Resolved Actions |
|  |  | If the incident has been resolved go to 6. If not, return to 3. |  |  |
| 6 | Critical Incident Manager | The Critical Incident Manager must complete a CIM report and resolve the Critical Incident. The Resolved Incident, and all linked Incidents, then follows the usual closure process. | CIM Report Template  Incident Record | CIM Report,  Resolved Critical Incident |
| 7 | Critical Incident Manager | Any issues or actions identified in the report must be followed up. | Incident Management Report |  |
| 8 | Critical Incident Communications Team | At all recognised points, and at any other point deemed beneficial, updates for stakeholders are passed through the Critical Incident Communications Team. | Updates | Stakeholder Communications |

# Appendix 1

## Process Improvement Plan

Please follow the link below to review the current improvement plan:

[Improving Incident Management Project Brief](../../../../1-09e%20-%20Remote%20Support%20-%20Exploitation%20Phase%202%20-%20Improving%20Incident%20Management%20Stage%202%20(BCT109)/Project%20brief/Project%20Brief%20BCT109%20-%20Improving%20Incident%20Management%20Stage%202%20v0.2.docx)

# Appendix 2

## RACI Chart

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Process | Activity | Process Owner | Customer | Users | Critical Incident Manager | Service Desk | Resolvers |
| Incident Management | Incident Logging & Classification | A |  | C |  | R | R |
| Incident Management | Immediate Incident Resolution | A |  | C |  | R | R |
| Incident Management | Incident Closure and Evaluation | A |  | I |  | R | C |
| Incident Management | Incident Management Reporting | A | I | I |  | R | C |
| Incident Management | Critical Incident Management | A | C | I | R | I | C |