CEDD OPERATIONS TEAM

-IMPM Process Guide

The purpose of this document is to detail the IMPM process as part of CEDD Operations Team

Operations Run Team| Email: IT_Operations@Swissre.com

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Document Control

1.1 Document Circulation

This document is distributed to the following people or roles:

Version	Date	Name	Role
0.2	15 Dec 2015	Raghavender Gurujala	Program Manager
0.2	15 Dec 2015	Jyotirmaya Mahapatra	Sr. Manager
0.3	15 Jan 2016	Raghavender Gurujala	Program Manager
0.3	15 Jan 2016	Jyotirmaya Mahapatra	Sr. Manager
0.4	25 Jan 2016	Raghavender Gurujala	Program Manager
0.4	25 Jan 2016	Jyotirmaya Mahapatra	Sr. Manager
0.5	24 May 2016	Raghavender Gurujala	Associate Director
0.5	24 May 2016	Jyotirmaya Mahapatra	Program Manager
0.6	14 March 2017	Mahesh Raghupathy	Team Lead
0.6	14 March 2017	BaladityaKumar Wuriti	Team Lead
0.5	14 March 2017	Raghavender Gurujala	Director
0.5	14 March 2017	Jyotirmaya Mahapatra	Portfolio Manager
0.6	14 March 2017	Sujith Nair	Team Lead
0.10	26 May 2017	Raghavender Gurujala	Director
0.10	26 May 2017	Jyotirmaya Mahapatra	Portfolio Manager
0.10	26 May 2017	Mahesh Raghupathy	Team Lead
0.10	26 May 2017	BaladityaKumar Wuriti	Team Lead
0.10	26 May 2017	Sujith Nair	Team Lead
0.10	26 May 2017	Anshul Chowdhary	Team Lead
0.11	29 June 2017	Jyotirmaya Mahapatra	Portfolio Manager
0.11	29 June 2017	Raghavender Gurujala	Director
0.11	29 June 2017	George Paul	Portfolio Manager
0.11	29 June 2017	Prasoon Jain	Team Lead
0.12	02 Aug 2017	Raghavender Gurujala	Director
0.12	02 Aug 2017	Jyotirmaya Mahapatra	Portfolio Manager
0.12	02 Aug 2017	George Paul	Portfolio Manager
0.12	02 Aug 2017	Prasoon Jain	Team Lead
0.13	02 Aug 2017	Raghavender Gurujala	Director
0.13	02 Aug 2017	Jyotirmaya Mahapatra	Portfolio Manager
0.13	02 Aug 2017	George Paul	Portfolio Manager
0.13	02 Aug 2017	Prasoon Jain	Team Lead

1.2 Document Authorization

This document is authorized by the following people or roles.

Version	Date	Name	Role
0.2	23 Dec 2015	Raghavender Gurujala	Program Manager
0.2	23 Dec 2015	Jyotirmaya Mahapatra	Sr. Manager
0.3	19 Jan 2016	Raghavender Gurujala	Program Manager
0.3	19 Jan 2016	Jyotirmaya Mahapatra	Sr. Manager
0.4	28 Jan 2016	Raghavender Gurujala	Program Manager
0.4	28 Jan 2016	Jyotirmaya Mahapatra	Sr. Manager
0.5	24 May 2016	Raghavender Gurujala	Associate Director

0.5	24 May 2016	Jyotirmaya Mahapatra	Program Manager
0.6	14 March 2017	Raghavender Gurujala	Director
0.6	14 March 2017	Jyotirmaya Mahapatra	Portfolio Manager
0.11	29 June 2017	Raghavender Gurujala	Director
0.11	29 June 2017	Jyotirmaya Mahapatra	Portfolio Manager
0.11	29 June 2017	George Paul	Portfolio Manager
0.12	02 Aug 2017	Jyotirmaya Mahapatra	Program Manager

1.3 Version History

The following is the version history of this document since inception.

Version	Date	Changed By	Change Details	Review Status
0.2	15 Dec 2015	Prasanna Kumar	Draft	Sent for review
0.3	15 Jan 2016	Prasanna Kumar	Review comments updated	Sent for review
0.4	25 Jan 2016	Prasanna Kumar	Review comments updated	Sent for review
0.5	24 May2016	Prasanna Kumar	Review comments updated	Reviewed
0.6	14 March 2017	Prasanna Kumar	Review comments updated	Reviewed
0.7	21 March 2017	Prasanna Kumar	Review comments updated	Reviewed
0.8	18 April 2017	Raghavender Gurujala	Updated on-call support process	Reviewed
0.9	27 April 2017	Prasanna Kumar	Updated Transferred Tickets & Watch list process	Reviewed
0.10	26 May 2017	Prasanna Kumar	Process updated on problem tickets which are tagged to a yet to be approved CR(With respective ITC application only)	Reviewed
0.11	29 June 2017	Prasanna Kumar	Updated Release 54 changes	
0.12	02 Aug 2017	Prasanna Kumar	Updated New IMPM process signature	
0.13	28 Aug 2017	Prasanna Kumar	Removed Triage Acknowledgement	

2. Overview

2.1 Purpose

The purpose of this document is to detail the IMPM process as part of CEDD Operations Team.

2.2 Scope

The scope of this document is restricted to the process followed/adhered in CEDD Operations Team

2.3 Audience

The audience for this document is limited to anyone who is related to CEDD Operations Team.

2.4 Terms & Abbreviations

The following are the terms and abbreviations used in this document.

Abbreviation	Full Form
SNOW	Service Now
KB	Knowledge Base
GSO	Global Sourcing Operations
HR	Human Resource
L&C	Legal & Compliance
SLA	Service Level Agreement
APAC	Asia Pacific
RFC	Request for change
RFI	Request for information
CI	Configuration Item
OLA	Operational Level Agreement
UTC	Universal Time Coordinated
CEDD	Customer Experience Digital Delivery

3. Scope

3.1 In Scope

All incidents and problems ONLY assigned to which are the part of 'Operations Run Team' is in scope of this program.

3.2 Out of Scope

Any other activity that is outside of above mentioned activities is out of scope.

4. Incident Management Process

Incident management process is detailed in this section detailing on each status that an incident can be falling into.

4.1 Priority

Incident Management priority is determined as mentioned below.

Incident Priority

		Standard	Medium	High	Critical*
		Affected customers			
Issue	Non critical service or function is unavailable or degraded	Individual customer	VIP or multiple customers	Many customers	Large customer group or vital processes
Issue	Critical service or function is unavailable or degraded	n/a	An individual customer	Multiple customers	Many customers or vital processes
Issue	Infrastructure component issue	Potential failure without any direct customer impact	Failure without any direct customer impact	Failure affecting multiple customers	Central component failure affecting many customers
	Volume Distribution	~ 90% of all incidents	~ 7% of all incidents	< 2% of all incidents	< 1% of all incidents
	Target overall	≥ 90% of the tickets reacted on / resolved within agreed period of time			
	Examples	• User unable to receive emails on iPhone or connect via iPass • Blue screen solved by rebooting computer • Disk space on server 95% full	• VIP unable to receive emails on iPhone • Team folder inaccessible • Inability to work due to complete PC failure • Redundant power supply failure in a server	• Travel inaccessible in multiple [illegible] • Telephony not working in a location • Degraded SNOW performance • Non redundant server failure	• Severe delays of major batch processing • Life guide down for external customers • Non-functioning Blackberry mail service • z/OS mainframe is down
	Customer Reaction and Resolution time (in business hours)	• Reaction 24 hours • Resolution 120 hours	• Reaction 24 hours • Resolution 72 hours	• Reaction asap • Resolution 8 hours	• Reaction asap • Resolution 4 hours

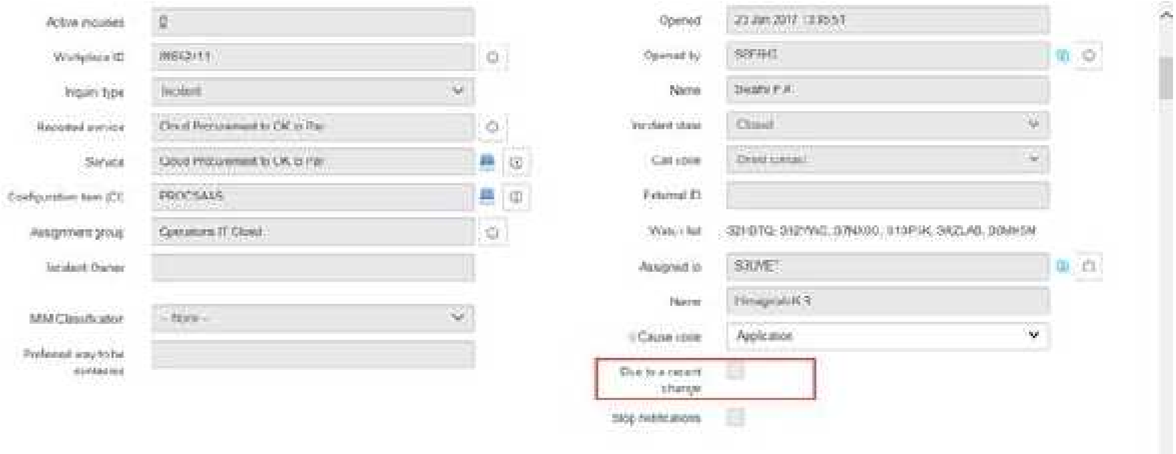
4.2 In Progress

A ticket when assigned to Operations IT Cloud & 'GL_CORP FUNC APPS POOL2 assignment group in SNOW is in 'In Progress' status, the triage team validates the ticket on priority, CI, Inquiry type and assigns to right group/person for further analysis of ticket.

The status of ticket lies in 'In Progress' throughout the time, the ticket is in analysis.

- As soon as incident owner sees a ticket, a quick check on Inquiry type (Inquiry, Incident) **(Refer section 4.8)** priority and CI is made. If a change is required, the same is initiated accordingly.
- If user has updated the field "preferred way to be contacted" in the ticket, contact user only through updated "preferred way to be contacted". If this field is not updated in the ticket, follow different mode of communication followed as earlier.
- If the issue is because of clarification, the same is clarified to customer either via SNOW or Lync or if needed via Skype when screen share and a walk through is needed. Once the issue is clarified and user confirms in SNOW, the ticket is then changed to resolved

- If the issue is because of a data issue, inform the same to system expert, in all possible cases, transfer the ticket to system operations. Once the data correction is done and user confirms in SNOW, the ticket is then changed to resolved
- Ticket update should happen at least with a minimum frequency of 4 days either in customer communication field or in work notes of SNOW
- For tickets that are pending with stakeholders including vendors, after regular chase – at least twice a week, if no progress is seen, the same needs to be formally escalated to ensure enough traction is seen in the ticket
- Customer needs to be kept informed on the progress at regular intervals through customer communication field in SNOW
- If the issue raised is caused due to a recent change/deployment, ensure to follow the below mentioned steps:
  - Changes/deployment could be Operation IT Run/3rd party vendors.
  - Ensure to check **'Due to recent change'** check box as shown below:



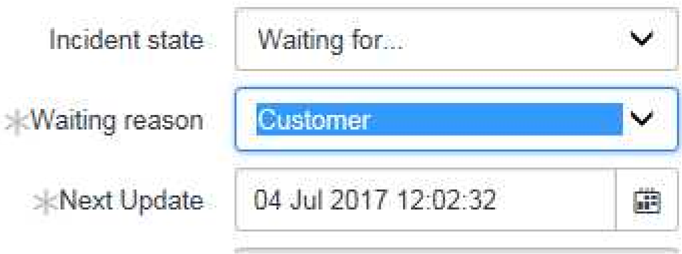
  - CR number/case number to be in added into the "External Id field"
  - High level description of the change to be commented in work notes.

4.3 Waiting for

There are two reasons of waiting for statuses and the applicability of each status is detailed below.

4.3.1 Customer

This waiting reason is used in case further information from customer is needed to further investigate the issue, or if the confirmation that the reported issue is resolved is needed.



- If using this status, The next update becomes active and has to be updated with reasons on the reasons and agreement on the next update
- Comments must be updated in the 'Customer Communication' field of incident

- All the communication made to customer needs to be in simple business language, avoiding technical jargon as much as possible and in a way that's easy for customer to understand
- A status change to Customer will also trigger a notification to user
- If user hasn't come back through SNOW, possible other ways of reaching user should be tried like lync, skype call, email etc.,
- Time for Appointment/meeting with customer is arranged to discuss the issue for further analysis or confirmation of issue resolution is seeked. The agreed time must be documented in the customer communication field before the status gets changed

- Once the required information/confirmation is sought, the discussion points need to be updated in the ticket in customer communication field
- The status should then be changed accordingly

4.3.2 Dependency

This waiting reason is used when

- Problem resolution or change initiated for an incident
- Personal HW repair if customer was provided with loaner device initiated for an incident
- Agreed event in the future (i.e. salary raise) initiated for an incident
- If using this status, The next update becomes active and has to be updated with reasons on the reasons and agreement on the next update
- Comments need to be updated in the either 'Customer Communication' /Work note field of incident

4.3.2.1 Problem resolution

- If there is any issue with the product (Example: SF/Coupa etc), a case is raised to contact (Example: SF/Coupa etc), for the same. The same will be notified to the Application Manager. A problem ticket will be created for the same and the issue is tracked though the problem ticket. The problem ticket is linked to the problem ticket and further analysis is done.
- When resolution or work around is available and root cause needs to be performed
- When the action either resolution or clarification is needed by a third party vendor and/or any other stakeholder not available in SNOW
- When multiple tickets are raised for the same issue, a problem ticket is created
- When there is no workaround or timely resolution available for an incident that's being worked upon
- Any known potential issue (pro-active problem management).

4.3.2.2 Change Request

- Code/Config correction is needed to fix the issue and Data loads.
- The CR number needs to be referenced in external Id field for reference

- **Note:** With Respective L & C application only
  A change request which is waiting for business approval can take time, If such scenario to update the follow up date as current quarter end date and in the work notes use the below comment as standard format.

Dear All, A change request has been created to implement this change and is waiting to be prioritized and approved by Compliance for implementation. We will share the next update with you when the change has been approved. This is, however, an open dated activity and may take some time. Should this take longer then you will receive at the very least a status update every quarter from us until the CR is approved for implementation. Thanks & Best Regards, CEDD Operations Team

4.3.2.3 Personal HW repair if customer was provided with loaner device initiated for an incident

- This waiting reason **SHOULD NOT** be used as this is expected to be used only by IT Field Services staff members.

4.3.2.4 Agreed event in the future (i.e. salary raise)

- Payroll run for future date

4.4 Resolved

The status of ticket is changed to resolved only when

- The root cause is identified and a permanent resolution is in place
- Do a quick check in the database to see if this is a known error; If so, apply the solution
- If this is a new incident, check to see if a ready solution is available
- User confirmation can happen in any mode – SNOW, email, lync, skype, however the same needs to be updated (where, how and when) in customer communication field of the ticket before the status changes to resolved
- Attempt to contact customer 3 times over a reasonable amount of time e.g., a week
- Even after applying the 3-strike rule (contact customer atleast thrice and receive no response), there is no response, the ticket can be closed with the following update in customer communication field.

Dear User, We have attempted multiple times to contact you to verify that your issue is resolved. Unfortunately we could not reach you.If we do not hear back from you we will assume that the issue you reported is resolved and close this ticket.Please feel free to reopen this ticket if you still encounter this issue. Thanks & Best Regards, CEDD Operations Team

- Ensure the ticket type (Inquiry & Incident) & Cause code **(Refer sectionion:4.12)** is maintained correct before resolving the ticket.

- In case the user wants, he can re-open the ticket within the 5 business days for further analysis if user feels issue is not yet resolved
- Before changing status to resolved, resolution text box needs to be updated with issue, root cause and resolution
- A KB article needs to be created and updated with relevant details.

4.5 Closed

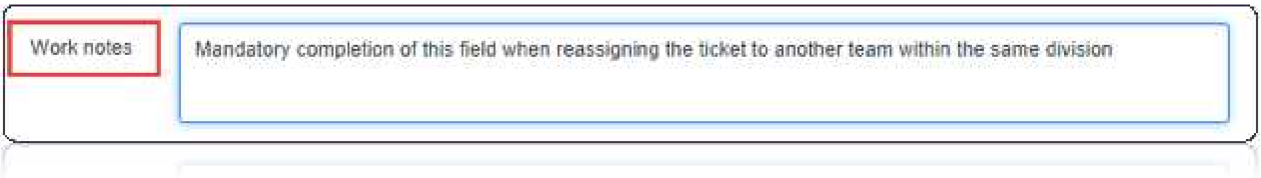
The status of ticket is changed to closed after five business days that the ticket lies in resolved status. This is the final status of a ticket.

4.6 Stop notification flag

- A 'Stop notification' flag will be available on all tickets
- When checked, the customer communication for the specific transaction is suppressed
- The flag is then unchecked after save. If a subsequent suppression is needed, the flag will need to be checked again

4.7 Mandatory 'work notes' update on ticket reassignment

When re-assigning a ticket to another assignment group within any of the modules, it will be mandatory for the work notes field to be filled.



4.8 Ticket type

- **Incident(Incident/RFC):**
  An event which is not part of the standard operation of a service and which causes or may cause disruption to or a reduction in the quality of services and Customer productivity (IT Service affected).Also To be used when it is immediately apparent that a change is necessary.
  - **Inquiry(Request, (Also Service Request) and Request for Information):**
    Request, advised for a Standard Change or for Access to an IT Service. For example to reset a password, or to provide standard IT Services for a new User. Request for User information advised general information from the customer. For example status of this issue or question about a Service (No IT Service affected).
  - **Event (not selectable as a Type)**
    Opened by XPA automatic monitoring. Only the ticket receiver should change the type from Event to Incident or RFI if required.
  - **Feedback:**
    To be used when the customer is complaining/praise about an existing incident/service. Incident ticket must be referenced

4.9 On-Call support

For applications where on-call support is agreed, the below process is applicable for all critical/high ticket.

4.9.1 Ticket acknowledgement

A critical/high ticket is assigned to the relevant assignment group during business hours and during non-business hours, SR service desk/OCC notifies team by calling as per the roster updated and shared,

ITC Bridger
http://www.zrh.swissre.com/occ/central/Contact_List_ITC.pdf

As soon as the information regarding critical/high is conveyed, the ticket needs to be acknowledged in SNOW as the regular process (explained in section 4.2).

For Critical /High ticket, Notification is sent via email and phone call (by triaging member) to the lead, PM, onsite coordinator and ticket owner

For All HIGH.CRITICAL tickets below standard communication to be used to immediately notify all internal stakeholders

Hi [Name of the Lead],
Please make note of a High/Critical ticket created today as mentioned below

Ticket #	Description	Application	Assigned to	Category	Created Time	Agreed SLA	SLA Time

Warm Regards,
Operations Run Team

Notification to be sent
To: - Application Lead, Incident owner and Team members
CC: Raghavender Gurujala, Jyotirmaya Mahapatra

During Closure of the Business hours: Lead notifies to Application status report owners & Triaging members on updates on the issue.

4.9.2 Assess the priority

Perform preliminary checks to verify if the application is down. Update all the checks and the results that are performed in the work notes. Assess the priority of the ticket (detailed in sec 4.1) to ensure the priority of ticket in SNOW is same as the priority matrix. Incase if this is not the case, the ticket needs to be upgraded/downgraded accordingly with the help of service desk mentioning the reasons of the same in customer communication field. Please also take an approval from application manager and attach the same in the ticket.

4.9.3 Invoke 'on-call'

As the priority is critical/high, invoke 'on-call' process. Update the same in work notes that on call is initiated. The incident owner would then take the ticket on his onus from there on.

4.10 Transferred Tickets

The below mentioned point need to update in the work note while you transferring ticket.

- In work notes, name of the group\team will be mentioned. For Ex: HR team\ Legal and Compliance team.
- Reason for transferring needs to be mentioned in the work note.

4.11 Watch list

If the problem ticket ageing is more than 30 days and critical incidents, add application managers, IT Incident & Problem managers (Ondrej Smetana (S7HBKD), Jana Varsova (S0HSUF)) and User in the watch list of the incident/problem tickets.
Note: If incident is linked to problem ticket, follow the above mentioned process only in problem ticket.

Ticket Type	Priority	Customer reaction time	Resolution time	Target
Incident	Standard	24 hours	120 hours	> 95% of the tickets reacted on / resolved within agreed period of time
	Medium	24 hours	72 hours	
	High	asap*	8 hours	
	Critical	asap*	4 hours	
Inquiry / Feedback	Standard	24 hours	120 hours	
	High	24 hours	48 hours	

Harmonising Customer Reaction and Resolution Time for Incidents and Inquiries

*The assumption is that in most cases incidents that are classified as "High" or "Critical" are reported directly via telephone to the ContactOne Service Desk.

4.12 Cause code

Following cause codes will all remain within the division IT module.

Cause Codes	Description
Information request	Question responded to by the team
Service request	Service request fulfilled by the team
Inquiry follow-up	Question, follow-up, or chaser on open customer tickets or requests
Application / software	Error within application. Functional / availability / performance issues
Access rights	Access rights missing or wrong.
Data quality	Insufficient or incorrect data, wrong/missing content.
Infrastructure / service interruption	Error in the IT infrastructure: Database, network, server down. Outage of CRES services like power, Air conditioning etc.
Customer knowledge	Missing knowledge, technical information or instructions. Forgotten password.
Security / compliance	Virus, malware, compliance issue
Cause unidentified	Cause unknown at time of resolution. Might be followed up by Problem Management.
Repair / replacement / maintenance	Personal Hardware, facility management, cleaning and caretaking, repairs necessary.
Process issue / failure	No relevant / adequate process. Process not followed, service deliver not well performed. Catalogue item not working
Ticket handling	Related to how a ticket was handled

5. Problem Management Process

Problem management process is detailed in this section detailing on each status that an incident can be falling into.

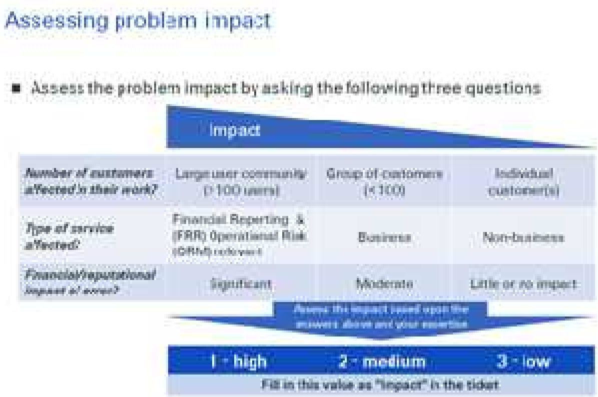
5.1 Problem Management Initiation

A problem ticket can be created for various multiple reasons as detailed below including both pro-active problem management and/or re-active problem management.

- If there is any issue with the product (Example: SF/Coupa etc), an case is raised to contact (Example: SF/Coupa etc), for the same. The same will be notified to the Application Manager. A problem ticket will be created for the same and the issue is tracked though the problem ticket. The problem ticket is linked to the problem ticket and further analysis is done.
- When resolution or work around is available and root cause needs to be performed
- When the action either resolution or clarification is needed by a third party vendor and/or any other stakeholder not available in SNOW
- When multiple tickets are raised for the same issue, a problem ticket is created
- When there is no workaround or timely resolution available for an incident that’s being worked upon
- Any known potential issue (pro-active problem management)

5.2 Problem Management Priority

The priority of a problem ticket is determined based on urgency and impact of the ticket as depicted below.



5.3 Open

The initiate state of a problem ticket is open when its created. Either the problem owner or triage team validates the ticket on priority, CI, Prefix code and assigns to right group/person for further analysis of ticket.

5.4 In Analysis

The status of ticket lies in 'In Analysis' throughout the time, the ticket is in analysis.

- Ticket update should happen atleast with a minimum frequency of 4 days either in customer communication field or in work notes of SNOW
- For tickets that are pending with stakeholders including vendors, after regular chase – atleast once a week, if no progress is seen, the same needs to be formally escalated to ensure enough traction is seen in the ticket
- Customer needs to be kept informed on the progress at regular intervals through customer communication field in SNOW
- The follow up date becomes active and has to be updated with reasons on the reasons and agreement on the follow up date
- Once the root cause is identified, the flag is checked and root cause needs to be updated in the text box
- Work around available flag is checked once the workaround is available and the same needs to be updated in the root cause/description of problem text box
- Permanent resolution verified flag is checked once the solution is implemented and the same needs to be updated in the permanent resolution & preventive action text box
- Do not pursue further flag is checked when there are constraints in going ahead with either further analysis or with permanent resolution of issue. The following steps are then performed
    - Risk assessment to be performed – how will the business be impacted (Priority matrix), is there a workaround available, cost to fix vs. cost of a workaround, likeliness of reocurrence, measures taken to prevent reocurrence, additional measures (monitoring, setup of additional logs, communication…)
    - sign off by IT and Business Owner to be attached – after the risk assessment is present and recommended to Owner, as well as a representative customer, the sign-off to be obtained from them
    - Risk Assessment, Decision Date & Parties field to be adequately updated, the checkbox D to be tagged, problem ticket to be closed
    - Known Error article to be created – including Symptoms, a Workaround or how to deal with occurrence of the error, and the decision taken not to pursue this problem to be documented
    - Follow up to be ensured – with all individual customers for pending incidents
- 3rd Party relevant flag is checked when the issue is with discussion with the product vendor. The case number must be updated in the external id field and adequate 3rd party status to be used. Tickets which are checked for 3rd party must be updated atleast once a week and escalated wherever progress is not observed .The below suggested status updates for problem tickets when linked to 3rd party relevant:

Step1) Click on the 3rd party relevant tab then select 3rd party relevant status:

Step2) the moment issue is fixed by 3rd party, change the status as shown below:

Step3) Perform round of testing thereafter, update the status to: Tested Successfully.

Step4) Take required approval/ confirmation from business and then close the problem ticket With status as mentioned above

Step5) if the issue still persists, change the status to:

Step6) Change the status to: in case the change is waiting for any future release for deployment:

5.5 Waiting for Change

This waiting reason is used when it is confirmed that the issue resolution is done through a code/configuration correction.

- If using this status, CR no should be linked to this problem ticket.
- The follow up date becomes active and has to be updated with reasons on the reasons and agreement on the follow up date
- The ticket needs to be updated at regular intervals with progress on the problem ticket

5.6 Resolved

The status of ticket is changed to resolved only when

- The root cause is identified and a permanent resolution is in place
- A conscious decision has been made not to pursue with the problem ticket, any further

A KB article needs to be created and updated with relevant details.

1. General Principles

1.1 References

Please find some tips and tricks in the following links

- http://ourspace.swissre.com/docs/DOC-96908
- http://ourspace.swissre.com/docs/DOC-86373
- http://ourspace.swissre.com/docs/DOC-97059
- http://ourspace.swissre.com/docs/DOC-95196

1.2 Higher Band Employee

Please do not reach directly for tickets raised on higher band employees like 'DIRECTOR' and above

1.3 Customer communication

When and how to update customer:

- there is a change of status in the ticket
- there are any potential delays resolving the issue
- whenever you feel it is necessary

Do’s

- All incidents and problems ONLY assigned to which are the part of ‘Operations Run Team’
- Use short, polite, accurate sentences summarizing the situation or what has been discussed.
- Let the Customer know that they will be provided with an update on progress when the status of the incident changes, and always give the customer a method of contacting you in one or more ways, in case they have any questions or concerns.
- Avoid using technical language in the 'Customer communication' field if the Customer is not from IT.

Don’t’s

- Sending information with too much technical detail to the Customer who consequently would not be able to understand
- Don't close the Incident without User confirmation except 3 strike rule.
- Don’t ask user for available time to schedule the meeting request , instead check user’s calendar and schedule a meeting. Keep your leads as required attendee in the meeting.
- Sending logs to User
- Using slang or inappropriate language