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Operations Run Incident & Problem Management Process

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Date: 4-July-17

People matter, results count.

Agenda

Incident & Problem Management Process

Scope

- **In Scope**
  - All incidents and problems ONLY assigned to which are the part of ‘**Operations Run Team**’ is in scope of this program.
- **Out of Scope**
  - Any other activity that is outside of above mentioned activities is out of scope.

Incident Management Process---Triage

- A ticket when assigned to part of Operation IT cloud & 'GL_CORP FUNC APPS POOL2 assignment group in SNOW is in In Progress status. The triage team then validates the ticket on priority, CI, incident type and assigns to right application/person for further analysis of ticket.
- If the priority of the incident is not rightly mentioned, take confirmation from Business or Application Manager an upgrade/downgrade of the incident. Confirmation details should be updated in the work note field.
- Post assignment, triaging team need to response in customer communication field like Dear User, We have acknowledged your request. We will analyze & get back to you with an update.
- Example

  Dear User Name,

  We have acknowledged your request .We will analyze and get back to you with an update.

  Thanks & Best Regards,

  Operations Run Team

Incident Management Process---In Progress

- As soon as incident owner sees a ticket, a quick check on Inquiry type (Inquiry, Incident) 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 atleast with a minimum frequency of 4 days either in customer communication field or in work notes of SNOW

Incident Management Process---In Progress

- For tickets that are pending with stakeholders including vendors, after regular chase – atleast 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 Operations Run Team/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

Incident Management Process---Waiting for Customer

Waiting for

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

Incident Management Process---Waiting for Customer

- 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

Incident Management Process---Waiting for Dependency

- **Waiting for 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

– Comments need to be updated in the either 'Customer Communication' /Work note field of incident

Incident Management Process---Waiting for Dependency

- Problem resolution

- 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).

Incident Management Process---Waiting for Dependency

- 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 this 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,

Operations Run Team

Incident Management Process---Waiting for Dependency/Resolved

- **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.
    - **Agreed event in the future (i.e. salary raise)**
  - Payroll run for future date

- **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

Incident Management Process---Resolved

- 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,

Operations Run Team

Incident Management Process---Resolved / Closed / Stop notification flag

- Ensure the ticket type (Inquiry & Incident) & Cause code 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

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.

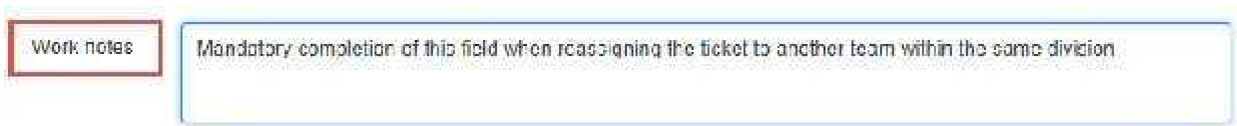
Stop notification flag

- A ‘Stop notification’ flag will be available on all tickets

Incident Management Process---Stop notification flag / Ticket reassignment

  - 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

- **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.



Incident Management Process---Ticket Type

- **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 Inquiry if required.

Incident Management Process--- Ticket Type / On call support

- **Feedback:**

To be used when the customer is complaining/praise about an existing incident/service. Incident ticket must be referenced.

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

Incident Management Process---Ticket acknowledgement/ Assess the priority

- **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,
  - Additionally, standard format is used to notify internal stakeholders on details regarding High/Critical tickets (Refer Ops IT Run -IMPM process document for further details)
- **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
- **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 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

Incident Management Process---Invoke ‘on-call’ / Transferred tickets

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.

- **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.
- **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 / KB for transferring needs to be mentioned in the work.

Incident Management Process---Watch list / Customer Reaction and Resolution Time

- 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.
- Harmonising Customer Reaction and Resolution Time for Incidents and Inquiries

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	

*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.

Incident Management Process---Cause code

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

Problem Management Process---Initiation

- **Problem Management Process**

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

- **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

Problem Management Process---Open / In Analysis

- 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)

- **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.
- **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

Problem Management Process---In Analysis

- 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

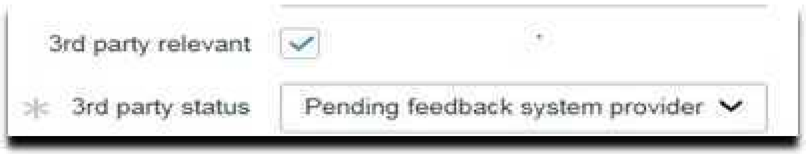
  - Risk assessment to be performed – how will the business be impacted (Priority matrix), is there a workaround available, cost to fix vs. cost of a workaround, likeliness of reocurrence, measures taken to prevent reocurrence,additional measures (monitoring, setup of additional logs, communication.

Problem Management Process---In Analysis / 3rd party relevant

- 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:

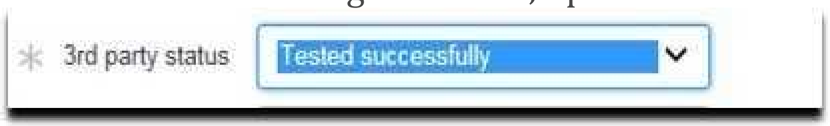
Problem Management Process---3rd party relevant

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

Problem Management Process---3rd party relevant / Waiting for change

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

- **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

Problem Management Process---Resolved

- **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.
- **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

- Assignment group for all incidents and problems should be part of ‘Operations Run Team’.
- Any communication to the Business to be made only through ‘Customer Communication’ field.
- Please check the user calendar and schedule a meeting if required and keep your leads in loop.
- Any information to be added for internal reference use Work Note field.
- Add Incident Owner, team lead, onsite owner in the watch list for all the problem ticket.
- Update Business at regular intervals on the status in soft language.
- The incident/problem ticket should, at any point of time, should have realistic update.
- Reasons for changing the priority should be evidenced in the ticket
- Add Issue, Root cause and Resolution in Resolution text box before closing the Incident.
- If the problem ticket ageing is more than 30 days and critical incidents, add SwissRe IMPM IT team (Ondrej Smetana (S7HBKD), Jana Varsova (S0HSUF)) in the watch list of the incident/problem tickets.

Don'ts

- 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

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