

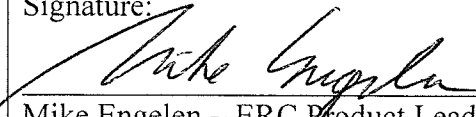
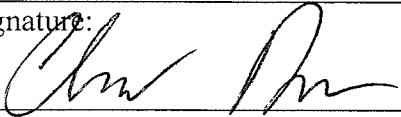
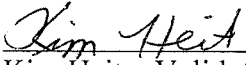



Title: Problem Incident

WTMS-SOP-002

Version:
07Issue Date:
14-Apr-2017Effective Date:
30-Jun-2017Author:
Ross L. Goertzen

Approvals

Signature:  Chris Stone - IT LEX Portfolio Manager Meaning of Signature: Accountable for Governance and SOP sign-off	Date: <u>07-APR-2017</u> (dd-mmm-yyyy)
Signature:  Nicole McLuen – USS Product Lead Meaning of Signature: Accountable for Governance and SOP sign-off	Date: <u>27-MAR-2017</u> (dd-mmm-yyyy)
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Signature:  Kim Heit – Validation Lead Meaning of Signature: Document is in compliance with GSOP-001 IT Governance Operating Framework.	Date: <u>27-Mar-2017</u> (dd-mmm-yyyy)
Signature:  Ross Goertzen - WMS QA Lead Meaning of Signature: Document meets quality needs	Date: <u>03-APR-2017</u> (dd-mmm-yyyy)

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Revision History

Date (dd-mmm-yyyy)	Version	Description	Author
11-May-2010	1	Initial version	Ross L Goertzen (us043208)
02-Sep-2011	2	Annual Review	Ross L Goertzen (us043208)
03-Dec-2012	3	Annual Review	Ross L Goertzen (us043208)
15-Aug-2013	4	Modify for ITSM	Ross L Goertzen (us043208)
14-Jul-2014	5	Improve emergency database update procedures	Ross L Goertzen (us043208)
30-Nov-2016	6	Annual Review (Updated Approval signatures names, format updated, replace Integriti database with One Note)	Elias Agbazahou (A638SZZ)
06-Mar-2017	7	Periodic Review (Update revision dates, Signature Approvals, Version and formats)	Elias Agbazahou (A638SZZ)

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Ross L. Goertzen**1. Purpose**

The purpose of this Standard Operating Procedure (SOP) is to provide a procedure for production problems. This SOP will layout the steps and decisions that should be considered and also reference a “contact list” that will be updated semiannually.

2. Scope**2.1 In Scope**

This procedure includes:

Production problems related to any of the Warehouse and Transportation Management Systems. Any task associated with keeping the production applications running. All events outside of established business hours will be treated as Business Critical and escalated accordingly. The client can override this when the event is not critical and can wait until normal business hours.

Note: *All client related after-hours events will have the criticality of the event verified with the client by the Warehouse and Transportation Management Support group before escalating to the Product Lead.*

2.2 Out of Scope

This procedure does NOT include:

- QA or testing environments or applications.
- Development environments or applications.
- Events involving Release Level Development.

3. References**3.1 Related Documents**

The following documents are related to this SOP or referenced in this SOP.

3.2 Contact List

- See 11.1 Contact List Locations
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4. Definitions, Acronyms, and Abbreviations

Acronyms and Abbreviations	Definitions
3M Employee	An individual that works part-time or full time under a contract of employment with 3M. Independent Contractors and Contingency Workers are not considered 3M Employees.
Approval Signatures	Indicates the signers have reviewed the document and accept it as valid procedure and process that meets 3M Policy, regulatory needs, and business objectives and will be followed by the Organization.
Effective Date	The date when compliance to the document is mandatory and the previous version of the document can no longer be used. The effective date cannot precede date of approval on the cover or Issue Date.
EPF	Emergency Production Fixes
ERC	Enterprise Receiving Component Application that essentially passes on multiple appropriate transactions to the legacy systems with a single entry into ERC.
Issue Date	The date when a Governance Document is considered released or published after approval. The Issue date cannot precede any date of approval on the cover. The document may be adopted and followed by an area any time after issue date. However once the effective date is reached, adherence is required.
PPL	Process Portfolio Leaders
SOP	Standard Operating Procedure An established process to be followed for a given operation or situation to ensure compliance with regulation, policy, or a standard. A SOP tells the reader <i>what to do</i> .
STP	St. Paul
USS	United States Shipping Application commonly used in plants as opposed to DC's.
Version	The specific approved edition of a procedure. Whole numbers will be used (01, 02, etc.)
WIP	Work in Progress
WMS	Warehouse Management System A System for defining and managing complex warehouse structures within one or several Distribution Centers.

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5. Roles

5.1 *Application Change Lead (ACL):*

The Operations person responsible for monitoring changes to the application.

5.2 *Change Control Owner:*

A 3M Employee who owns the change control process.

5.3 *Change Control Team:*

This team performs the change control process. They review, approve, and prioritize issues that have been entered into the appropriate issues database.

5.4 *Client:*

An individual representing the business in some aspect who reported the problem.

5.5 *Emergency Change Request Approver:*

Various members of the team that are given authority to approve the emergency change request.

5.6 *On Call Support Team Member with Database Update Access (Warehouse and Transportation Management Support):*

On Call Support Team Member with Database Update Access provides the same duties as the role of Warehouse and Transportation Management Support (On Call Support Team Member), with the addition of access to update the database. Peer Support Team Reviewer provides the same duties as the role of the Warehouse and Transportation Management Support Team Member with the distinction that Peer Support Team Reviewer reviews the database query and the change request for accuracy.

5.7 *Peer Support Team Reviewer:*

Peer Support Team Reviewer provides the same duties as the role of the Warehouse and Transportation Management Support Team Member with the distinction that Peer Support Team Reviewer reviews the database query and the change request for accuracy.

5.8 *Product Lead*

This is a 3M Employee that is specifically responsible for one or more applications. The Product Lead is ultimately responsible for all areas related to the application assigned to them. When contacted by Support Team Member, the Product Lead will be expected to be briefed by the Warehouse and Transportation Management

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Support SME and continue to ask questions until the problem is understood. The Product Lead will then work with support to generate a plan to resolve or generate more tests to determine the problem. This process continues until the problem is resolved or a work around is found to keep the application up and running. The Product Lead will also keep the clients informed of progress although this may be delegated to a support person or anyone else helping to resolve the incident. Support Team Member must update the support ticket(s) with information each time an additional escalation contact has been attempted.

5.9 *Requester:*

The individual who entered the change request.

5.10 *Service Delivery Manager:*

The Operations person responsible for monitoring the application.

5.11 *Support Team Lead:*

This is the Support Team Member that has the added responsibility of managing the support team and performs various functions related to communications and organization activities in order to keep the team running smoothly. The Support Team Lead is also the person who is normally contacted for longer term solutions or problem resolution within the team itself.

5.12 *Validation Lead:*

A 3M Employee or Contingency Worker responsible for the overall validation of the application.

5.13 *Warehouse and Transportation Management Support (On Call Support Team Member):*

Various members of the team are on call and some are on site and some are off shore. Support team members are on rotation for weekends and night calls. We have the off shore members respond to support tickets after STP business hours and on site members that respond to support tickets during normal STP business hours. In either case, the team member will try to resolve the problem on their own. The team member needs to respond to the client within the contracted minutes as stated in the Statement of Work. Support must update the support ticket(s) with information each time that an additional escalation contact has been attempted.

5.14 *Warehouse and Transportation Management Support SME:*

This is a support team member who has more expertise in a specific application. Many times the support member on call will need to contact the Warehouse and

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Transportation Management Support SME and or the Warehouse and Transportation Management Support Team Lead for guidance or to resolve a specific problem. Our current support model specifically requires an on-site team member to have in depth knowledge of one or more applications and general support skills in the remaining applications. This allows team members to rotate through the night and weekend calls while still providing in depth support for difficult problems within the support team itself. Support Team Member must update the support ticket(s) with information each time that an additional escalation contact has been attempted.

6. Document Responsibilities

6.1 Update Responsibility

- The responsibility for maintaining this document rests with the Warehouse and Transportation Management department. The updating can be assigned to anyone but is primarily associated with the 3M person responsible for the Warehouse and Transportation Management support team.

7. Procedure

7.1 Normal Support Process

Step	Responsibility	Action
1.	Client	Reports a problem. Either a Help Line Call or Web Form submission.
2.	Help Line	Pages Warehouse and Transportation Management Support Team for the support ticket.
3.	On Call Support Team Member	Accepts the support ticket.
4.	On Call Support Team Member	Puts ticket to Work in Process status (WIP).
5.	On Call Support Team Member	Enter User ID of On Call Support Team Member.
6.	On Call Support Team Member	Start to investigate problem reported in ticket.
7.	On Call Support Team Member	(Optional) Contacts client to ask any clarifying questions to help resolve problem.

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Step	Responsibility	Action
8.	On Call Support Team Member	(Optional) Check knowledge database for Warehouse and Transportation Management support for similar problems in the past.
9.	On Call Support Team Member	Resolve problem. Note: <i>If the problem cannot be resolved escalate to Warehouse and Transportation Management Support SME.</i>
10.	On Call Support Team Member	Enter solution text and time in the support ticket.
11.	On Call Support Team Member	Contact the client.
12.	On Call Support Team Member	Resolve support ticket.

7.2 Escalate to Warehouse and Transportation Management Support SME

Step	Responsibility	Action
1.	On Call Support Team Member	Contact the Warehouse and Transportation Management Support SME. Note: <i>This may involve off-shore calling the primary on-site Support Team Member contact via phone or cell.</i>
2.	On Call Support Team Member	Updates support ticket with the Warehouse and Transportation Management Support SME.
3.	On Call Support Team Member	(Optional) Send out a "For your Information" (FYI) page to the Product Lead about the problem.
4.	On Call Support Team Member and Warehouse and Transportation Management Support SME	Determines what if any additional assistance is required: <ul style="list-style-type: none"> Escalate to Group outside the Application Area: If the problem can be resolved by a group outside the application area, reassign the support ticket to the appropriate Support Group. This ends the process for WTMS Support.

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Step	Responsibility	Action
		<ul style="list-style-type: none"> Escalate to Product Lead: The problem has turned out to be a very difficult issue and support person requires a decision or help to resolve the problem from the Product Lead. <i>See 7.4 Escalate to Product Lead.</i>
5.	On Call Support Team Member and Warehouse and Transportation Management Support SME	Resolve problem.
6.	On Call Support Team Member	Enter solution text and time in the support ticket.
7.	On Call Support Team Member	Contact the client and update with progress.
8.	On Call Support Team Member	Resolve the support ticket.

7.3 Reassign to Group outside Application Area

Step	Responsibility	Action
1.	On Call Support Team Member	Reassign the original support ticket or generate a new ticket for the responsible group and that group is paged out to take over support.
2.	Newly Assigned Support Group	Resolves the problem.
3.	Newly Assigned Support Group	Enters resolution information to the original support ticket, the new support ticket, or both.
4.	Newly Assigned Support Group	Resolves support ticket.
5.	On Call Support Team Member	Resolves original support ticket if a new one was created for other area.

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7.4 Escalate to Product Lead

Step	Responsibility	Action
1.	Warehouse and Transportation Management Support SME	Contact Product Lead.
2.	Warehouse and Transportation Management Support SME	Explain the problem and what is needed from the Product Lead.
3.	Warehouse and Transportation Management Support SME	Provide status to On Call Support Team Member.
4.	On Call Support Team Member	Update the client with progress and intentions and log the information in the support ticket.
5.	Product Lead	Makes determination on what action is to be taken. <ul style="list-style-type: none"> Problem requires an emergency update to the application. Follow the EPF Flow in the Application Change Control SOP. Problem requires an emergency update to the application database. Approve and escalate to Emergency Database Update.
6.	On Call Support Team Member	Advise client of progress, intentions, and log the information in the support ticket.
7.	On Call Support Team Member	Resolve support ticket.

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Step	Responsibility	Action
1.	On Call Support Team Member	Determine that a database update is required.
2.	On Call Support Team Member	Optional: Inform or get approval from Product Lead.
3.	On Call Support Team Member	Create a Change Request.
4.	On Call Support Team Member	Create the database query to make the change.
5.	On Call Support Team Member	Test the database query and result set against support ticket and verify the change request has been created.
6.	Peer Support Team Reviewer	Review database query and result set against support ticket and verify the change request has been created.
7.	On Call Support Team Member	<ul style="list-style-type: none"> • If peer review is approved, enter the select test of the database query and result set as an attachment to the change request. • If peer review is rejected, return to Step 4.
8.	Emergency Change Request Approver	Review emergency change request. <ul style="list-style-type: none"> • If approved, formally approve the change request. • If not approved, return to Step 4.
9.	On Call Support team with Database Update Access	Run the database query to make the necessary change
10.	On Call Support team with Database Update Access	Verify the result set to the expected result set

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Step	Responsibility	Action
11.	On Call Support team with Database Update Access	Enter actual execution of the database query as an attachment to the change request.
12.	On Call Support team with Database Update Access	Close the change request
13.	On Call Support Team Member	Enter the solution and pertinent information in the support ticket.
14.	On Call Support Team Member	Contact the client.
15.	On Call Support Team Member	Resolve support ticket

8. Special Instructions

In the Revision History, include the Review Date. If no changes are made, include a comment in the Description column such as “Periodic review – no changes need to be made.” This will require a new version needed for the audit trail, even though the only addition is the aforementioned phrase. If a revision is necessary, include a brief description of the changes. Retraining is required for new versions without changes.

9. Distribution List

- WTMS Procedure Master File
- WTMS Procedure Repository

10. Control Plan

The process will be monitored monthly by reviewing a sample of support tickets. The samples will be documented and discussed at the support meeting. The documentation will also be kept as part of the Project Team’s documentation.

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11. Attachments

11.1 Contact List Locations

- Contact List is updated semiannually. It resides in the One Note folder called IT Whse & Transp Misc'l and is called Contact List.
 - Contact list is also contained in One Note for Systems Continuity Process (SCP) under the applications ERC, USS and WMS. The “folder” is called Contact List for Warehouse and Transportation Management.
 - The call list resides within protected databases with limited access because there is significant private information.
-