

INCIDENT MANAGEMENT PROCESS

Document Management

Document Detail

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Documentation Purpose

The Process Activity Design document is based on the activity level process flow. Each process activity is described and matched to the appropriate Roles and Responsibilities assigned to be Accountable (own), Responsible (do), Consulted (ask), and Informed (notify).

This document has been designed to follow the best practices of the Information Technology Infrastructure Library (ITIL®).

Document Maintenance

RED highlights in this document identify fields or titles requiring update with each new version. Once this document has been accepted operationally, identify all version modifications through MS Word "Track Changes" feature and provide a brief description for the update reasons in the Revision History table (below), and ensure sign off is obtained and documented (below).

Revision History

Date	Version	Description	Author

Approvals

Date	Version	Approver Name / Department or Role	Signature

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Process Description

An Incident is defined as any event that is a deviation from normal that causes disruption to the agreed service for an IT service, or causes a reduction in the quality of agreed service for an IT service, or could lead to a disruption or a reduction in quality of agreed service for an IT service (this includes monitoring activities that provide early detection of possible Incidents).

The primary goal and objective of Incident Management is to restore normal service operation as quickly as possible in order to minimize the adverse impact on business operations. This ensures that the best possible levels of service quality and availability are maintained.

A Service Request is defined as a End User request for information, for advice, for a Standard Change, or for access to an IT service. Service Requests are usually small, predefined, repeatable, frequent, pre-approved, and procedural requests. These requests may also include small, low-risk standard changes (Request for Change).

The primary goal and objective of Request Fulfillment is to provide a channel for End Users to request and receive standard services for which a pre-defined approval and qualification process exists. Other objectives are to:

- Provide information to End Users and customers about the availability of services and the supporting procedures to obtain these services.
- Assist with general information, complaints, or comments.

The Service Desk is a critical Organization and Functional department responsible for being a Single Point of Contact for all End Users requests and issues concerning the IT organization and use of IT resources. The Service Desk is further responsible for being a Single Point of Coordination and Facilitation within the IT organization for the fulfillment and resolution of all requests and issues IT resources.

Incident Management and Request Fulfillment overlap at the Service Desk where all End User and IT Staff operational issues are reported. The initial assumption is that all issues are Incidents that need to be handled with appropriate urgency. If classified as non break-fix issues, they are removed from the dynamic Incident activities and handled within more pre-defined and systematic Request procedures.

With such a central role within IT, the Service Desk is a critical repository of operational data and information stored within Records (Tickets) that forms a key input to all ITIL processes.

Process Scope

The scope of the Incident Management Process at <<company>> IT is limited as follows:

In Scope

Out of Scope

Process Roles and Responsibilities

A Process Role is defined as a set of responsibilities, activities and authorities granted to a person or team. One person or team may have multiple roles, and may have different roles and responsibilities at different times due to involvement with separate processes one after the other.

For the purpose of process design, generic roles are defined for the process and are matched to activity steps. These generic roles are then matched to the organization chart to define the responsibilities and involvement of staff.

What is a RACI Chart?

The RACI chart clarifies to all involved with a process which activities each person, group, or team is expected to fulfill. It also helps in clarifying the staffing model necessary for operation and improvement.

The RACI model specifies that only one role is accountable for an activity, although several people may be responsible, consulted, and informed for parts of the activity.

The RACI model stands for four main process activity roles as follows:

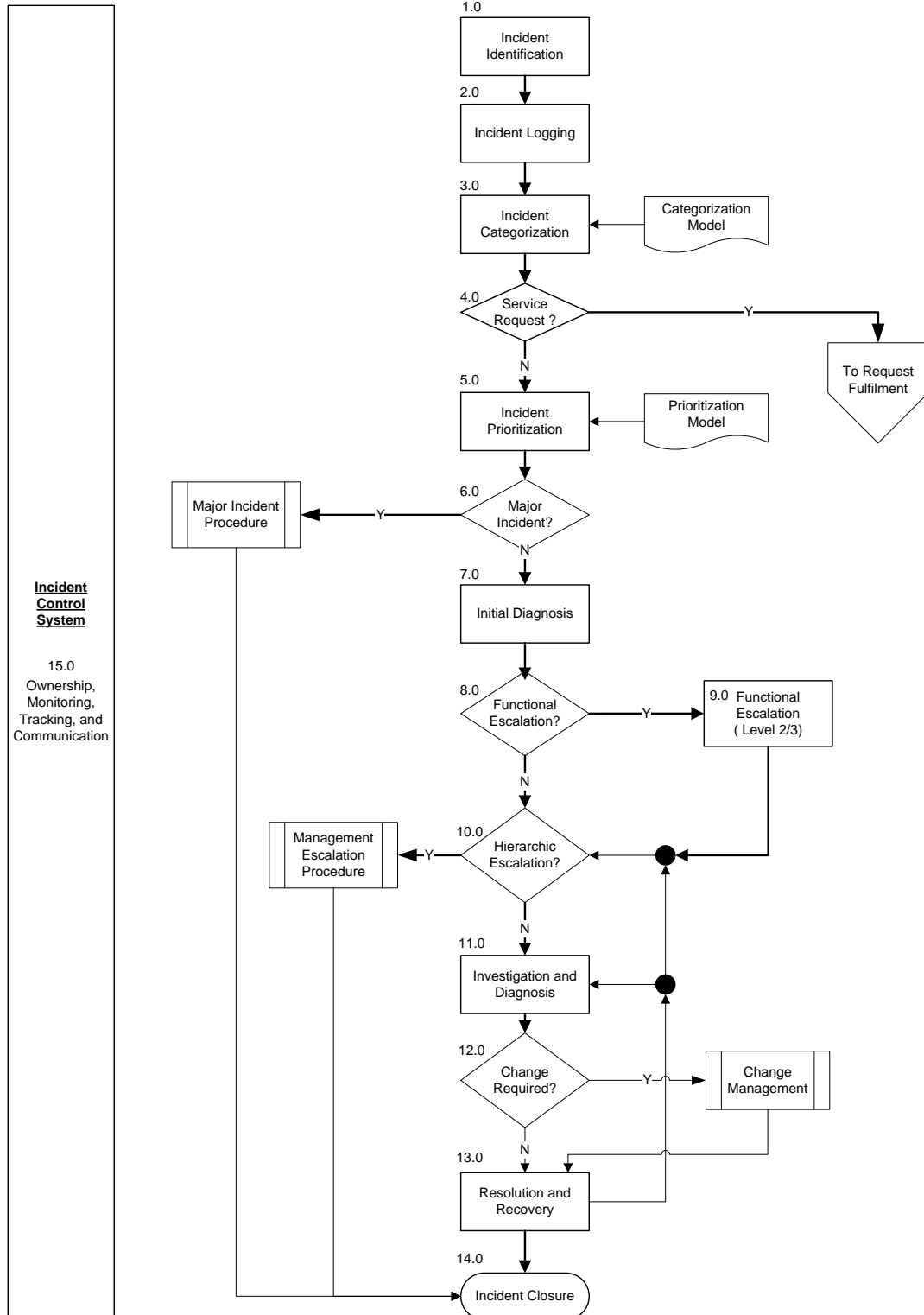
RACI	Description
A = Accountable	The single owner who is accountable for the final outcome of the activity.
R = Responsible	The executor(s) of the activity step.
C = Consulted	The expert(s) providing information for the activity step.
I = Informed	The stakeholder(s) who must be notified of the activity step.

Process Roles Described

Role	Description
Incident Owner	The Incident Owner is responsible for ensuring that all activities defined within the process are undertaken and that the process achieves its goals and objectives.
Incident Manager	The Incident Manager is responsible for process design and for the day to day management of the process. The manager has authority to manage Incidents effectively through First, Second, Third Level Support.
Customer	The Customer is the business – a person or department – who is paying for an IT Service to be available for use by their End Users. This role is responsible to report all Service Level complaints and complements to the Customer Relationship Manager role of Service Level Management.
End User	The End User is the person using an IT resource. This role is responsible to report all Incidents and make all IT requests and contacts through the Service Desk.
IT Staff	Any IT staff from the IT Organization. This role is responsible for the IT infrastructure and the delivery of IT Services, and will report all Incidents or possible Incidents through the Service Desk.
Service Desk Manager	The Service Desk Manager is responsible for the day to day management of the Service Desk function and assisting with all management escalated issues.
Service Desk Analyst	<p>The Service Desk Analyst is responsible for the day to day communication with all End Users and to facilitate the resolution and fulfillment of Incidents and Requests.</p> <ul style="list-style-type: none">• The Service Desk Analyst and the Service Desk function form Level 1 Support.
Incident Analyst	The Incident Analyst is responsible for implementing and executing the Incident process as defined by the Incident Owner/Manager, and to be a point of contact for escalated issues, questions, or concerns.

Role	Description
Support Level 2/3	<p>Level 2 Support is responsible to handle Incidents that Level 1 Support could not resolve. These group(s) will have general technical support skills, but with greater skill level than Level 1 Support. These groups are separated from “End User first point of contact” responsibility and typically have longer timescales to perform incident diagnosis and resolution tasks.</p> <p>Level 3 Support is responsible to handle Incidents that require specialized and in-depth technical skills. Escalation to these groups may be direct from Level 1 Support or from Level 2 Support based on the Priority and Complexity of the issue.</p>
Incident Management Team	The Incident Management Team is a group of individuals brought together to manage hierarchically escalated Incidents. This team includes the Service Desk function, the IT organization, and Third-Party companies.
Major Incident Team	The Major Incident Team is a group of individuals brought together to manage a Major Incident. This team includes the Service Desk function, the IT organization, and Third-Party companies.
Service Desk	The Service Desk organization and functional role.
Incident Management	The Incident Management process role.
Request Fulfilment	The Request Fulfilment process role.
Problem Management	The Problem Management process role.
Change Management	The Change Management process role.
Service Level Management	The Service Level Management process role.

Incident Process Flow



Incident Process RACI Chart

Activities	Roles														
	End User / IT Staff	Service Desk Manager	Service Desk Analyst	Support Level 2/3	Incident Manager	Incident Analyst	Major Incident Procedure	Management ^[SEP] Escalation ^[SEP] Procedure	Service Desk	Incident Management	Request Fulfilment	Problem Management	Change Management	Service Level Management	
INCIDENT MANAGEMENT PROCESS															
1.0 Incident Identification	R	R	R,I	R	R	R			A,I	-					
2.0 Incident Logging	C,I	I	A,R						-	-					
3.0 Incident Categorization	I	C	A,R						-	-					
4.0 Service Request?	I	C	A,R						-	-	I				
5.0 Incident Prioritization	C,I	C,I	A,R			C			-	-					
6.0 Major Incident?	I	R,C,I	R,I		A,R,C,I		I		-	-					
7.0 Initial Diagnosis	C,I		A,R						-	-					
8.0 Functional Escalation?	I		A,R	C,I		C			-	-					
9.0 Functional Escalation (Level 2/3)	R,I		A,I	R,C,I		C			-	-					
10.0 Hierarchical Escalation?	I	A,R,I	R,I	R,I				I	-	-					
11.0 Investigation and Diagnosis	R,I		A,R,I	R,C,I					-	-					
12.0 Change Required?	I	I	A,R,I	R					-	-			I		
13.0 Resolution and Recovery	R,C,I		A,R,I	R,C,I					-	-					
14.0 Incident Closure	C,I		A,R,I	R,C,I					-	-					
15.0 Ownership, Monitoring, Tracking, and Communication	R,C,I	R,C,I	R,C,I	R,C,I	R,C,I	R,C,I	R,C,I	R,C,I	R,C,I	A,R,C,I	I	I	I	I	

Process Steps Described

1.0 Incident Identification

Objective	To be available for all End Users of IT Services (and IT Staff) to report an Incident or to initiate a Request.
Policy	The Service Desk acts as a Single Point of Contact (SPOC) for all End Users of IT services and IT staff and is available as per agreement.
Input(s)	A phone call, email, or any other form of communication to the Service Desk related to an Incident or Request.
Output(s)	Contact and communication with the Service Desk.
Status	- none -
Description	<p>The End User can be anyone in the organization who requests Incident resolution or Request fulfillment services from the IT organization. Or, the End User can be anyone in the organization who detects and reports an Incident (typically IT Staff).</p> <ul style="list-style-type: none">• (A,I) The Service Desk function is Accountable to have analysts available for contact to be Informed of an Incident or Request.• (R,I) The Service Desk Analyst is Informed and Responsible for notification of Incidents and Requests.• (R) All End Users are Responsible to follow the contact details and procedures outlined in the Service Catalog for all requests for IT Incident or Request services.• (R) It is the Responsibility of all End Users, Customers, IT Staff, and IT Management to report all Incidents to the Service Desk, including those IT staff responses to events that resolve an Incident before End Users are aware (such Incidents are reported for documentation purposes only).

2.0 Incident Logging

Objective	To document all relevant details from the End User and IT staff regarding the Incident or the Request, as structured by the Service Desk Record.
Policy	All contacts with the Service Desk are recorded related to an Incident or Request.
Input(s)	Details gathered from the End User and IT staff is structured by mandatory fields on the Service Desk Record.
Output(s)	A detailed record in the Service Management System (SMS) tool, of Incident or Request type.
Status	Open
Description	<ul style="list-style-type: none">• (A,R) The Service Desk analyst accepting contact from the End User / IT staff is Accountable and Responsible for creating a Record and logging all relevant information. The Service Desk analyst is also Responsible for the following:

- Determine if the End User / IT staff is referring to an existing open Record, a Primary Major Incident Record, or is reporting a new Incident or Request.
- Update existing Records with all contacts made by the End User / IT staff. Additional information provided (if relevant) will be assessed for changes to existing Category, Priority, and/or required Escalation.
- Map all Incidents and Requests to the affected IT Service(s) identified from the Service Catalog.
- In the event a NEW serious degradation of service is detected, Inform the Service Desk Manager immediately and continue Categorizing and Prioritizing the Record.
- (I) The Service Desk Manager is informed immediately when a NEW serious degradation of service is detected.
- (C,I) The End User / IT staff is Consulted for a detailed description of the hardware and/or software involved, and to provide a brief history of known events leading up to the Incident.
 - The Service Desk Analyst will Inform the End User / IT staff of next steps to be taken.

3.0 Incident Categorization

Objective	To categorize every new Service Desk Record for assignment, diagnosis, and reporting purposes.
Policy	The Service Desk will categorize the Record using the Categorization Model.
Input(s)	Open Incident Record
Output(s)	Categorized Incident Record
Status	Open
Description	<p>All Open Records are first classified as either Incident or Request types. All Records are further categorized using the Categorization Model, and all Records are matched to the Services affected as outlined in the Service Catalog.</p> <ul style="list-style-type: none"> • (A,R) The Service Desk analyst will be Accountable and Responsible for classifying and categorizing all Records. • (C) The Service Desk Manager will be Consulted if there are questions or uncertainty as to the Classification or Categorization of Records. • (I) The Service Desk Analyst will Inform the End User / IT staff of next steps to be taken.

4.0 Service Request?

Objective	To determine if the Record should be handled as a Request or an Incident.
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Policy	The Service Desk will categorize all Record as either Incident or Request.
Input(s)	Open Incident Record
Output(s)	Categorized and Classified Incident or Request Record
Status	Open, Incident or Request type Record
Description	<p>If the End User / IT staff description of the situation matches the definition of an Incident, then the Record shall be classified as an Incident and handled through the Incident process. All Records NOT classified as Incident shall be classified as a Request and handled through the Request Fulfillment process.</p> <ul style="list-style-type: none"> • (A,R) The Service Desk analyst will be Accountable for classifying all Records as Incident type or Request type, and Responsible for updating the Record appropriately and handling the Record with the appropriate next steps. <ul style="list-style-type: none"> ○ (I) Issues classified as Service Request are handled through the Request Fulfillment. ○ Issues classified as Incident continue to be handled within this Incident Management Process. • (C) The Service Desk Manager will be Consulted if there are questions or uncertainty as to Classifying an issue as an Incident or Request. • (I) The Service Desk analyst will Inform the End User / IT staff of next steps to be taken as an Incident or a Request

5.0 Incident Prioritization

Objective	To set an appropriate Priority for scheduling and handling the Incident.
Policy	The Service Desk will prioritize the Record based on matching to the Prioritization Model.
Input(s)	Open, Categorized Incident Record
Output(s)	Open, Categorized and Prioritized Incident Record
Status	Open, Incident Record
Description	<ul style="list-style-type: none"> • (A,R) The Service Desk Analyst will be Accountable and Responsible for prioritizing all Records. • (C,I) The Service Desk Manager will be Consulted if there are questions or uncertainty as to the Priority of Records, and will be Informed immediately of all Incident Records prioritized as "Priority 1" and "Priority 2". • (C) The Incident Analyst role will be Consulted where there is uncertainty of Priority at the Service Desk. • (C,I) The End User / IT staff is Consulted for the Impact and Urgency of the Incident, will be Informed of next steps to be taken.

6.0 Major Incident?

Objective	To identify Major Incidents and manage them appropriately.
Policy	The Service Desk will treat all Incidents prioritized as "Priority 1" and "Priority 2" as a Major Incident.
Input(s)	Open, Categorized and Prioritized Incident Record
Output(s)	Open, Categorized and Prioritized Incident Record
Status	Open, Incident Record or Open Major Incident Record
Description	<p>All Major Incidents will be escalated to the Service Desk management level and handled with the utmost urgency.</p> <ul style="list-style-type: none">• (A,R,C,I) The Incident Manager role will be Informed, Accountable, Responsible and Consulted when a Major Incident is detected.• (R,I) The Service Desk Analyst will be Responsible for hierarchically escalating all Major Incidents immediately to the Service Desk Manager, and will be Informed of the next steps to be taken.• (R,C,I) The Service Desk Manager is Responsible, Consulted and Informed of all Major Incidents detected, and to confirm the decision to raise a Major Incident and contact the Incident Manager.• (I) Incidents prioritized as Major Incidents trigger and are handled through the Major Incident Procedure.• (I) The End User / IT staff is Informed of the next steps to be taken.

7.0 Initial Diagnosis

Objective	To resolve and recover as many Incidents as possible at the Service Desk.
Policy	The Service Desk (Level 1 support) is responsible to ensure Service Level Agreement (SLA) targets are met while attempting to achieve First Contact Resolution (FCR) within timelines stipulated in the relevant Operational Level Agreement (OLA).
Input(s)	Open, Categorized and Prioritized Incident Record
Output(s)	Level 1 diagnosed Incident Record
Status	Assigned Diagnosed
Description	<p>Initial diagnosis will be carried out using all tools, skills, and techniques made available from the Service Desk. This may include matching to similar Incident Records, matching to Known Errors and Work-Arounds, use of knowledge bases and Frequently Asked Questions (FAQ) documents.</p> <ul style="list-style-type: none">• (A,R) The Service Desk Analyst will be Accountable and Responsible for performing initial diagnosis of all Incident Records with an aim of achieving First Contact Resolution (FCR).

- (C,I) The End User / IT staff will be Consulted and Informed by the Service Desk analyst as needed and of next steps to be taken.

8.0 Functional Escalation?

Objective	To escalate unresolved Incidents to the appropriate Level 2/3 role that may include a Third-Party related contacts.
Policy	All Incidents that can not be resolved at the Service Desk are escalated to the appropriate Level 2/3 role or Third-Party related contact as indicated by the SLA and supporting OLAs/UCs.
Input(s)	Level 1 diagnosed Incident Record
Output(s)	Level 1 assigned Incident Record Level 2/3 assigned Incident Record
Status	Assigned
Description	<p>When Incidents can NOT be resolved at the Service Desk support level, the Incident is escalated to the appropriate Level 2 or Level 3 support role(s) according to the SLA and supporting OLAs/UCs.</p> <ul style="list-style-type: none"> • (A,R) The Service Desk Analyst will be Accountable and Responsible to functionally escalate the Incident to the appropriate Level 2 or Level 3 support role(s) when the Service Desk Analyst has not been able to achieve First Contact Resolution of the issue within timelines as specified in the SLA and supporting OLA/UC. • (C,I) All Support Level 2 or Level 3 role(s) related to the Incident will be Informed of the need for functional escalation and Consulted for status details related to resolving the Incident. • (C) The Incident Analyst role will be Consulted when there is uncertainty around functionally escalating an Incident. • (I) The End User / IT staff will be kept informed of all status changes to the reported Incident Record.

9.0 Functional Escalation (Level 2/3)

Objective	To resolve all Incidents that can Not be resolved at the Service Desk level.
Policy	All Incidents functionally escalated by the Service Desk will be resolved by the appropriate Level 2/3 role or Third-Party related contact as indicated by the SLA and supporting OLA/UC.
Input(s)	Level 1 diagnosed Incident Record
Output(s)	Level 2/3 accepted Incident Record
Status	Assigned, Accepted
Description	<ul style="list-style-type: none"> • (A,I) The Service Desk Analyst will be Accountable for ensuring that the Incident continues to be worked on and is resolved within the specified timelines of the SLA. <ul style="list-style-type: none"> ○ The Service Desk will also be Informed with all new

information from the End User / IT staff.

- (R,C,I) All Support Level 2/3 support role(s) will be Responsible for accepting escalated Incident assignments, shall be Consulted for status updates, and will be Informed with all new information related to the Incident.
- (C) The Incident Analyst role will be Consulted when there is uncertainty around functional escalations to Third-Party organizations.
- (R,I) All End User / IT staff will be Responsible to contact the Service Desk and report all new symptoms and information related to the Incident, and will be Informed of all significant status changes and progress.

10.0 Hierarchical Escalation?

Objective	To minimize Incident impact on the business where an Incident is NOT being resolved within appropriate time lines, or where an Incident has been identified with higher Impact than initially diagnosed and requiring management involvement.
Policy	All Incidents that can not be resolved within appropriate Functional timescales, or Incidents that have been re-assessed with higher Impact and/or Urgency, are escalated to the appropriate Service Desk and/or Incident Management contact.
Input(s)	Level 1 assigned Incident Record or Level 2/3 assigned Incident Record
Output(s)	Management escalation and involvement
Status	Assigned, Accepted
Description	<p>When Incidents can NOT be resolved within appropriate timescales as specified by the SLA and supporting OLA/UC, or where the Impact and/or Urgency has been reassessed at higher levels, the issue will be hierarchically escalated to management.</p> <p>Hierarchical escalation can happen as necessary at any activity step in the Incident Process.</p> <ul style="list-style-type: none">• (A,R,I) The Service Desk Manager is Informed of hierarchically escalated Incidents and is Accountable and Responsible for triggering the Management Escalation Procedure.• (R,I) The Service Desk Analyst is Responsible for detecting and/or being Informed of situations that need to be hierarchically and for informing the Service Desk Manager.• (R,I) Support Level 2/3 role(s) are Responsible for reporting higher levels of Impact and/or Urgency that may be uncovered during support activities, and to report threats and/or failures to reach resolution deadlines.<ul style="list-style-type: none">○ Support Level 2/3 role(s) will be kept Informed of all

management decisions and next steps.

- (I) Hierarchically escalated Incidents trigger and are handled through the Management Escalation Procedure.

11.0 Investigation and Diagnosis

Objective	To determine the points of failure related to the Incident and to reassess the Impact and/or Urgency of the Incident in light of findings.
Policy	The assigned Incident role shall make all effort to determine the point(s) of failure leading to the Incident and to determine the quickest resolutions in order to minimize impact on the business.
Input(s)	Initial Diagnosed Incident Record
Output(s)	Diagnosed Incident Record
Status	Assigned, Diagnosed
Description	<p>The Investigation and Diagnosis activity can be undertaken by the Service Desk Analyst (as Support Level 1 and First Contact Resolution), or by the appropriate assigned Support Level 2 or Support Level 3 group.</p> <ul style="list-style-type: none">• (A,R,I) The Service Desk Analyst will be Accountable for ensuring that all Incidents within the Service Desk organization continue to be worked on and progressed.<ul style="list-style-type: none">○ In cases where there has been no Functional escalation, the Service Desk Analyst will be Responsible for investigating and determining all points of failure leading to the Incident and to determine the quickest resolutions, which may involve a temporary work-around.○ The Service Desk Analyst will be Informed of any relevant new or changed information to the Incident.• (R,C,I) Support Level 2/3 roles will be Responsible for Incidents escalated to them. They are responsible for investigating and determining all points of failure leading to the Incident and to determine the quickest resolutions, which may involve a temporary work-around.<ul style="list-style-type: none">○ The Support Level 2/3 roles will be Consulted for information related to the Incident Record, and in turn will be Informed of any relevant new or changed information to the Incident.• (R,I) All End User / IT staff will be Responsible to contact the Service Desk and report all new symptoms and information related to the Incident, and will be Informed of all significant status changes and progress.

12.0 Change Required?

Objective	To manage and control all changes through formal Change Management.
Policy	All changes to hardware and software will be carried out under the Change Management process for all Normal and Emergency changes.
Input(s)	Investigated and Diagnosed Incident Record
Output(s)	RFC
Status	Assigned, Pending Change
Description	<p>All resolutions to IT Hardware and Software that are NOT pre-authorized Standard Changes will be forwarded to the Change Management process in a Request for Change (RFC) and be processed under Change Control.</p> <ul style="list-style-type: none">• (A,R,I) The Service Desk Analyst will be Informed of the need for IT Changes to be made and is Accountable for ensuring the Change Management process is initiated for all Incidents whose resolution requires an IT Change.<ul style="list-style-type: none">○ Where Incident Records are assigned to the Service Desk Analyst, this role will be Responsible to complete and submit the RFC.• (R) Where Incident Records are escalated to Support Level 2/3, this role(s) will be Responsible to inform the Service Desk Analyst of the need for an IT Change and will complete and submit the RFC.• (I) The Service Desk Manager is Informed by the Service Desk Analyst of all changes to be made (for the purpose of spreading awareness through the Service Desk to detect incoming notifications of a potential worsening of the situation).• (I) All End User / IT staff will be Informed of all significant status changes and progress.

13.0 Resolution and Recovery

Objective	To determine the most likely to succeed resolution and to recover the points of failure related to the Incident.
Policy	The assigned Incident role shall make all effort to determine the best course of action to recover the point(s) of failure leading to the Incident, including backout steps should the recovery fail or worsen the Incident.
Input(s)	Investigated and Diagnosed Incident Record
Output(s)	Recovered Incident
Status	Assigned, Recovered
Description	The Resolution and Recovery activity can be undertaken by the Service Desk Analyst (as Support Level 1 and First Contact Resolution), or by the appropriate assigned Support Level 2 or Support Level 3 group.

When implementing resolution and recovery plans, backout steps should be determined wherever possible as a precaution to control escalating Incident Impact should the recovery fail or worsen the Incident. A recovery failure will be reversed wherever possible and will re-initiate **Step 11 Investigation and Diagnosis.**

- (A,R,I) The Service Desk Analyst will be Accountable for ensuring that all Incidents are resolved and restored back to the End User / IT staff.
 - In cases where there has been no Functional escalation, the Service Desk Analyst will be Responsible for determining and implementing the most likely to succeed Incident resolution and recovery plan.
 - The Service Desk Analyst will be Informed of any relevant new or changed information to the Incident.
- (R,C,I) Support Level 2/3 roles (Third-Parties) will be Responsible to determine and implement the most likely to succeed Incident resolution and recovery plan, and for informing the Service Desk Analyst of the results.
 - Other Support Level 2/3 roles will be Consulted for information related to the Incident Record
 - The assigned Support Level 2/3 roles will be kept Informed of any relevant new or changed information to the Incident.
- (R,C,I) All End User / IT Staff will be Responsible to contact the Service Desk and report all new symptoms and information related to the Incident, and will be Consulted and Informed of all significant status changes and progress.

14.0 Incident Closure

Objective	To ensure that all Incident Records are confirmed successful by those who reported the Incident, to fully document all Incident Records, and to close all Incident Records.
Policy	The Service Desk shall be accountable to close all Incident Records and to ensure that all steps have been followed.
Input(s)	Documentation from the Service Desk Analyst Documentation from Support Level 2/3
Output(s)	Fully Updated Incident Record
Status	Closed
Description	<ul style="list-style-type: none"> • (A,R,I) The Service Desk analyst will be Informed of all Incident resolution activities and their results. This role is Accountable and Responsible to: <ul style="list-style-type: none"> ○ Where the Service Desk Analyst has NOT functionally escalated the Incident, this role is Responsible for

- submitting full documentation of investigation, diagnosis, resolution and recovery steps taken.
 - Collect and document all information for investigation, diagnosis, resolution and recovery steps taken. Attachment of submitted documentation is acceptable.
 - Contact and confirm Incident resolution with all parties who reported the Incident.
 - Close all open Incident Records after all activity is complete.
- (R,C,I) The Support Level 2/3 role is Responsible to inform the Service Desk of all Incident resolution activities and their results, and for submitting full documentation of investigation, diagnosis, resolution and recovery steps taken
 - This role is Consulted for information relating to Incident Closure and will be Informed of final Incident status and closure.
- (C,I) The End User / IT staff is available to be Consulted for information relating to Incident Closure and will be Informed of final Incident status and closure.

15.0 Ownership, Monitoring, Tracking, and Communication

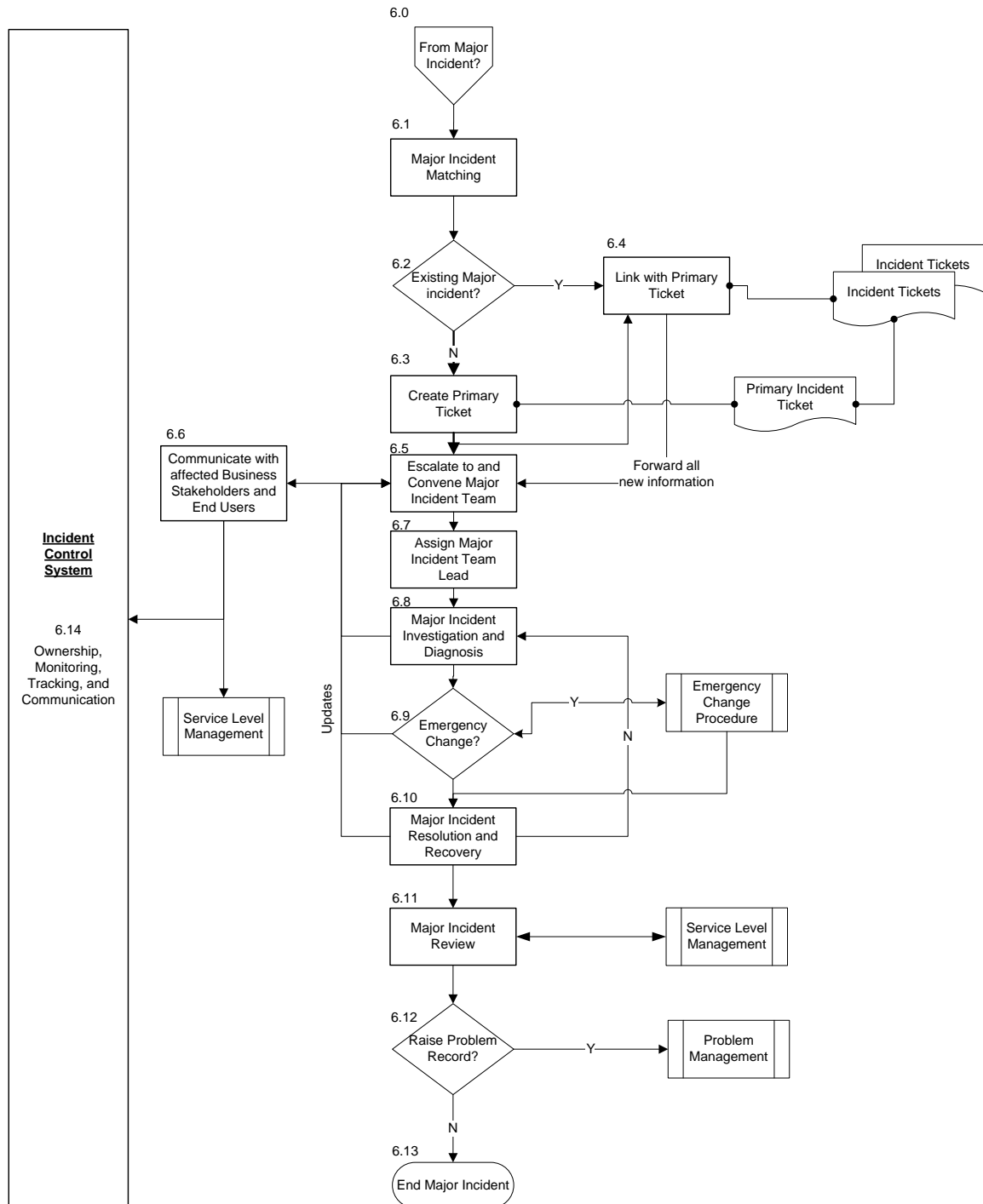
Objective	To ensure that there is a single source of information for all Incidents; that this information is of the highest quality and integrity; and that the Service Desk is the owner of all Incident Records that are NOT deemed Major Incidents.
Policy	The Service Desk shall own all non-Major Incident Records from open to closed status, and acts as a Single Point of Communication (SPOC) to all End User / IT Staff, and to ensure that the Service Desk acts as a Single Point of Coordination (SPOC) to all IT escalations during the Incident process.
Input(s)	Incident Records Status Updates Incident Documentation
Output(s)	Communication Updated Incident Records
Status	NA
Description	<ul style="list-style-type: none"> • (A,R,C,I) The Service Desk will be Accountable, Responsible, Consulted, and Informed for: <ul style="list-style-type: none"> ○ Coordination and facilitation of non-Major Incidents. ○ Creating, updating, and documenting all non-Major Incident Records ○ Communication to End User / IT staff ○ Providing operational reports • (R,C,I) All Incident roles involved with an Incident or Request are

Responsible to provide complete and accurate updates and information to the Service Desk, to be Consulted at any time for information, and to be Informed of all status updates and new information.

- (I) All Processes and the Service Desk function itself are Informed and provided with data and information to support operational reporting.

Major Incident Procedure

Major Incident Procedure Flow



Major Incident Procedure RACI Chart

Activities		Roles													
		Customer	End User / IT Staff	Service Desk Manager	Service Desk Analyst	Support Level 2/3	Major Incident Team	Incident Manager	Incident Analyst	Service Desk	Incident Management	Request Fulfilment	Problem Management	Change Management	Service Level Management
MAJOR INCIDENT PROCEDURE															
6.01	Major Incident Matching		C	R,C,I	R,C,I	C	C	A,R,C,I	-	-					
6.02	Existing Major Incident?		C,I	C,I	C,I	C,I	C,I	A,R	-	-					
6.03	Create Primary Ticket		I	R,C,I	R,C,I			A,R	-	-					
6.04	Link with Primary Ticket		I	A	R,I	I	I	I	-	-					
6.05	Escalate to and Convene Major Incident Team			R,I	R,I	R,I	I	A,R,C,I	-	-					
	Communicate with Affected Business Stakeholders and End Users								-	-					
6.06		I	I		R,I	R,C	R,C,I	A,R							R,I
6.07	Assign Major Incident Team Lead						C,I	A,R	-	-					I
6.08	Major Incident Investigation and Diagnosis	I	I		R,I	C,I	A,R,C,I		-	-					
6.09	Emergency Change?	I	I			R,C,I	A,I		-	-			I		
6.10	Major Incident Resolution and Recovery	I	R,C,I		R,I	R,C,I	A,R,C,I		-	-					
6.11	Major Incident Review						R,C,I	A,R	-	-					R,C,I
6.12	Raise Problem Record?						R,C,I	R,C,I	-	-		A,R,I			R,C,I
6.13	End Major Incident			I	I		C,I	A,R	-	I					
6.14	Major Incident Ownership, Monitoring, Tracking, and Communication	I	I	I	I	R,C,I	R,C,I	A	I	R,C,I	I	I	I	I	I

Procedure Steps Described

6.01 Major Incident Matching

Objective	To ensure that Major Incident reports are NOT duplicated.
Policy	The Service Desk will search the Incident Control System tool(s) against all open Major Incidents and will NOT duplicate Major Incidents.
Input(s)	Open, Categorized and Prioritized Major Incident Record
Output(s)	Open, Categorized and Prioritized Major Incident Record
Status	Open, Incident Record or Open Major Incident Record
Description	<p>Incident Records that have been prioritized as Major will be matched against all open Incident Records to both (1) determine if an existing Primary Incident Record exists; and (2) to determine other related Incident Records opened and not properly classified as a Major Incident.</p> <ul style="list-style-type: none">• (A,R,C,I) The Incident Manager is Accountable, Responsible, Consulted and Informed to ensure that the Major Incident is not duplicated.• (R,C,I) The Service Desk Manager is Responsible, Consulted and Informed to ensure that the Major Incident is not duplicated, and for directing and coordinating the Service Desk Analyst.• (R,C,I) The Service Desk Analyst is Responsible, Consulted, and Informed to maintain communication with the End User(s) and support roles, and to respond under the direction of the Service Desk Manager.• (C) The roles of the End User, Service Desk Analyst, Incident Manager, and existing Major Incident Team (where a major Incident is already handling a major issue) are available to be Consulted when deciding if a Major Incident is pre-existing.

6.02 Existing Major Incident?

Objective	To ensure that Major Incident reports are NOT duplicated.
Policy	The Service Desk will NOT duplicate Major Incidents.
Input(s)	Open, Categorized and Prioritized Major Incident Record
Output(s)	Open, Categorized and Prioritized Major Incident Record
Status	Open, Incident Record or Open Major Incident Record
Description	<ul style="list-style-type: none">• (A,R) The Incident Manager is Accountable and Responsible to make the decision an Incident is pre-existing or new.• (C,I) The roles of the End User, Service Desk Manager, Service Desk Analyst, and existing Major Incident Team (where a major Incident is already handling a major issue)

are Consulted and Informed when assessing an existing Major Incident or a new Major incident.

6.03 Create Primary Record

Objective	To consolidate management and support activities related to the Major Incident; and to provide a single primary record with which to consolidate information found in all related Incident Records.
Policy	All new Major Incidents will result in the creation of a new Primary Major Incident Records to which the original and all subsequent Incident Records will be linked.
Input(s)	Open, Categorized and Prioritized Major Incident Record
Output(s)	Open, Primary Major Incident Record Closed, Linked Incident Record
Status	Open, Primary Major Incident Closed, Linked Incident
Description	<p>A Primary Major Incident Record will be created and used as the single Incident Record for management purposes, with access by all involved to attached Incident Records and details.</p> <ul style="list-style-type: none">• (A,R) The Incident Manager is Accountable and Responsible to ensure that all Major Incidents have a Primary Incident Record.• (R,C,I) The Service Desk Manager or Service Desk Analyst may be delegated the Responsibility to create and document the Primary Major Incident Record, and/or may be Consulted for information to be included in the Primary Incident Record.<ul style="list-style-type: none">○ The Service Desk Analyst will be kept Informed of the need to create a primary Incident Record and the next steps to be taken related to the Major Incident.• (I) The End User / IT staff is kept Informed as to the status and next steps of the Major Incident.

6.04 Link with Primary Record

Objective	To collect all related Incident information that may provide indicators that lead to faster and more accurate Diagnosis.
Policy	The Service Desk will continue to add information related to the Major Incident that may help find a resolution to it.
Input(s)	Open, Categorized and Prioritized Major Incident Record
Output(s)	Closed, Linked Incident Record
Status	Closed, Linked Incident
Description	The linked Incident Record(s) will be closed, but available for viewing and matching once linked to the Primary Major

Incident Record.

- (A) The Service Desk Manager is Accountable to ensure that all related Incident Record(s) are linked to the Primary Incident Record.
- (R,I) The Service Desk Analyst is Informed and Responsible to link all duplicate Incident Record(s) with pre-existing Primary Incident Records.
 - Where other non-major Incident Records have been identified as belonging to the Primary Major Incident, the Service Desk Analyst is Responsible for Informing other analysts and for ensuring these Record(s) are linked with the Primary Incident Record
 - The Service Desk Analyst is Responsible for forwarding all new information to the Major Incident Team to assist Investigation and Diagnosis, and for keeping the End User Informed about the reported incident.
- (I) The End User / IT staff, Major Incident Team, Incident Manager and Support Level 2/3 Roles are kept Informed as to new reported Incidents related to the Primary Incident.

6.05 Escalate to and Convene Major Incident Team

Objective	To assess and evaluate the situation and involve all appropriate IT resources and Third-Parties.
Policy	All Major Incidents will be escalated to the Incident Manager who will initiate convening the Major Incident Team.
Input(s)	Open, Primary Major Incident All Closed, Linked Incident Records
Output(s)	Major Incident Team
Status	Escalated, Primary Major Incident
Description	<p>The Major Incident Team will most likely span several support groups, and may consist of representatives from the Service Desk, the IT organization, Support Level 2/3 Incident Teams, and Third-Party organizations.</p> <ul style="list-style-type: none">• (A,R,C,I) The Incident Manager is Accountable, Responsible, Consulted and Informed and to convene and be a part of the Major Incident Team.• (R,I) The Service Desk Manager is informed and Accountable to be a part of the Major Incident Team.<ul style="list-style-type: none">○ The Service Desk Manager may be Responsible to escalate to and convene the Major Incident Teams of related support Organizations as indicated by the SLA and supporting OLA/UC.

- (R) The Service Desk Analyst may be delegated the Responsibility to escalate to and convene the Service Desk Major Incident Team as well as the Major Incident Teams of related support Organizations as indicated by the SLA and supporting OLAs/UCs.
 - The Service Desk Analyst is Responsible to communicate all related Record information to all parties that form the Major Incident Team.
- (R,I) The Incident Analyst role is Informed and Responsible to be a part of the Major Incident Team.
 - The Incident Analyst is also Responsible to determine and confirm the IT Services affected and the appropriate Support Level 2/3 organizations to be involved (Third-Party stakeholders).
- (R,I) All Service Desk Analyst and Support Level 2/3 roles related to the Major Incident are Informed and Responsible to be part of the Major Incident Team.

6.06 Communicate with affected Business Stakeholders and End Users

Objective	To manage Business expectations and provide a valued customer service by keeping the Business informed.
Policy	All Major Incidents will provide all End User and Business stakeholders with Status Updates every hour until resolved, unless another frequency of updates are requested from the Business.
Input(s)	Impact assessments and status updates from the Major Incident Team
Output(s)	Email and voice communication (where appropriate)
Status	NA
Description	<p>Notifications to business stakeholders will be communicated through Service Level Management. Notifications to End Users will be communicated through the Service Desk (which may also include business stakeholders).</p> <ul style="list-style-type: none"> • (A,R) The Incident Manager is Accountable and Responsible to escalate to the Service Level Management process and to coordinate communication with affected Business Stakeholders and End Users. • (R,I) Service Level Management is Informed and Responsible to communicate with Business Stakeholder Customer(s). • (R,I) The Service Desk Analyst is Informed and Responsible to communicate with End Users. • (R,C) All Support Level 2/3 roles are Responsible to provide Incident status updates to the Major Incident Team and to

- be Consulted for updates.
- (R,C,I) The Major Incident Team is Responsible to consult support roles for Incident progress and updates and be Informed at all time, and is in turn Consulted for updates.
- (I) The End User and Customer are Informed of status updates and progress.

6.07 Assign Major Incident Team Lead

Objective	To provide a single source of leadership and coordination during a Major Incident.
Policy	All Major Incidents will be coordinated and managed by a single organization's Major Incident Team lead.
Input(s)	Major Incident Team members
Output(s)	Single Organization Major Incident Team Lead and contact information.
Status	NA
Description	<ul style="list-style-type: none"> • (A,R) The Incident Manager role is Accountable and Responsible to assign a Major Incident Team Lead (and may be this team lead) to be the central point of management and directing team members. • (C,I) All Major Incident Team roles and Service Level Management are Consulted for recommendations and Informed as to the prime contact and Major Incident Team lead.

6.08 Major Incident Investigation and Diagnosis

Objective	To determine the points of failure related to the Major Incident and to reassess the Impact and/or Urgency of the Incident in light of findings.
Policy	The assigned Incident role shall make all effort to determine the point(s) of failure leading to the Incident and to determine the quickest resolutions in order to minimize impact on the business.
Input(s)	Assigned Incident Record(s)
Output(s)	Diagnosed Incident Record
Status	Assigned, Diagnosed
Description	<ul style="list-style-type: none"> • (A,R,C,I) The Major Incident Team is Accountable for ensuring that all Incidents continue to be worked on and progressed. <ul style="list-style-type: none"> ○ This role is Responsible to follow up with all support stakeholders to obtain progress reports and updates. ○ This role will be Consulted for direction related to the Incident Record, and in turn will be Informed of

- any relevant new or changed information to the Incident.
- (R,C,I) All Support Level 2/3 roles are Responsible for providing and Consulted for information related to the Major Incident, and are Informed of any relevant new or changed information to the Incident.
- (R,I) The Service Desk Analyst is Responsible to update the Major Incident Team and Support Level 2/3 roles with all new information and updates from End Users.
 - The Service Desk Analyst is Informed of status updates and is Responsible to update all Incident Records and End Users with new information and updates.
- (I) The End User and Customer are kept informed through updates to “Step 6.06 Communicate with affected Business Stakeholders and End Users”.

6.09 Emergency Change?

Objective	To manage and control all emergency changes through formal Change Management.
Policy	All changes to hardware and software will be carried out under the Change Management process for all Normal and Emergency changes.
Input(s)	Investigated and Diagnosed Incident Record
Output(s)	Emergency RFC
Status	Assigned, Pending Change
Description	<p>All resolutions to IT Hardware and Software that are NOT pre-authorized Standard Changes will be forwarded to the Change Management process as an Emergency Change to be processed under Change Control.</p> <ul style="list-style-type: none"> • (A,I) The Major Incident Team is Accountable for ensuring the Change Management process is initiated for all Incidents whose resolution requires submission of an Emergency Change, and is Informed of Change progress and status. • (R,C,I) The Support Level 2/3 role requesting IT Change(s) is Responsible to Inform the Major Incident Team, Consult with other Support Level 2/3 roles, and follow the Emergency Change procedure. • (I) The Change Management process is triggered when Informed of Emergency Changes. • (I) The End User and Customer are kept informed through updates to Step 6.06 Communicate with affected Business Stakeholders and End Users”.

6.10 Major Incident Resolution and Recovery

Objective	To implement the most likely to succeed resolution and to recover the points of failure related to the Major Incident.
Policy	The assigned Incident role shall make all effort to determine the best course of action to recover the point(s) of failure leading to the Major Incident, including backout steps should the recovery fail or worsen the Incident.
Input(s)	Investigated and Diagnosed Incident Record
Output(s)	Recovered Incident
Status	Assigned, Recovered
Description	<p>When implementing resolution and recovery plans, backout steps should be determined wherever possible as a precaution to control escalating Major Incident Impact should the recovery fail or worsen the Incident. A recovery failure will be reversed wherever possible and will re-initiate Step 6.08 Investigation and Diagnosis.</p> <ul style="list-style-type: none">• (A,R,C,I) The Major Incident Team will be Accountable for ensuring that all Major Incidents are resolved and restored back to the End User.<ul style="list-style-type: none">○ This role is Responsible to follow up with all support stakeholders to obtain progress reports and updates.○ This role will be Consulted for direction related to the Major Incident Record, and in turn will be Informed of any relevant new or changed information to the Incident.• (R,C,I) All Support Level 2/3 roles are Responsible for resolving the Incident and restoring the service.<ul style="list-style-type: none">○ These roles are Consulted for progress and updates and Informed of any relevant new or changed information.• (R,C,I) All End Users will be Responsible to contact the Service Desk and report all new symptoms and information related to the Incident, will be Informed of all significant status changes and progress, and will be Consulted by the Service Desk Analyst for confirmation of success of the resolution and recovery.• (R,I) The Service Desk Analyst is Informed of Incident progress and updates, and is Responsible to consult with End Users to confirm successful resolution and recovery.• (I) The End User and Customer are kept informed through updates to Step 6.06 Communicate with affected Business Stakeholders and End Users”.

6.11 Major Incident Review

Objective	To look for opportunity for improvement or to confirm process handling of Major Incidents.
Policy	All Major Incidents will be assessed for opportunities to improve the escalation procedure.
Input(s)	Assessments from the Major Incident Team and Service Level Management
Output(s)	Updated or maintained Major Incident Procedure Possible Problem Record
Status	NA
Description	<ul style="list-style-type: none">• (A,R) The Incident Manager is Accountable and Responsible to ensure the Major Incident is reviewed to assess the Major Incident handling procedure, the effectiveness of the Major Incident Team, and to assess the involved Third-Party(s) and Service Desk.<ul style="list-style-type: none">◦ Recommendations for revisions to IT Service Agreements and Contracts are forwarded to the Service Level Management process.• (R,C,I) The Service Level Management process is Responsible and Consulted for review of the Major Incident handling and for Customer review, and is Informed of review recommendations.• (R,C,I) The Major Incident team is Responsible and Consulted for review and recommendations, and is Informed of final review recommendations and outcomes.

6.12 Raise Problem Record?

Objective	Prevent Major Incidents from reoccurring.
Policy	All Major Incidents should be evaluated for escalation to Problem Management to ensure that the cause is understood and that the Incident will not reoccur. Additionally, Problem Management will look to determine effective work-arounds and temporary measures to lessen Impact should the Incident happen again.
Input(s)	Primary Incident Record and related Incident Records
Output(s)	Problem Management process activities
Status	NA
Description	<p>It is generally accepted that all Major Incidents should be investigated by Problem Management for a clear understanding of the cause and prevention of similar future Major Incidents.</p> <ul style="list-style-type: none">• (A,R) Problem Management is Accountable, Responsible and Informed to evaluate the Major Incident and decide whether or not to raise a Problem Record.• (R,C,I) The Incident Manager, Major Incident team, and

Service Level Management are Responsible, Consulted and Informed for recommendations and assessment for further Problem investigation.

6.13 End Major Incident

Objective	To return to the Incident process, close the Major Incident Record and all associated records.
Policy	All Incident Records are closed following the Incident process.
Input(s)	Primary Incident Record and related Incident Records
Output(s)	Incident Management process
Status	Resolved
Description	<ul style="list-style-type: none"> • (A,R) The Incident Manager is Accountable and Responsible to end the Major Incident. • (C,I) The Major Incident Team is Consulted for final advice and Informed of the end of Major Incident activities and is disbanded. • (I) The Service Desk Manager and Service Desk Analyst are Informed of the end of the escalated Incident. This triggers the return to the Incident Management Process to close the Incident.

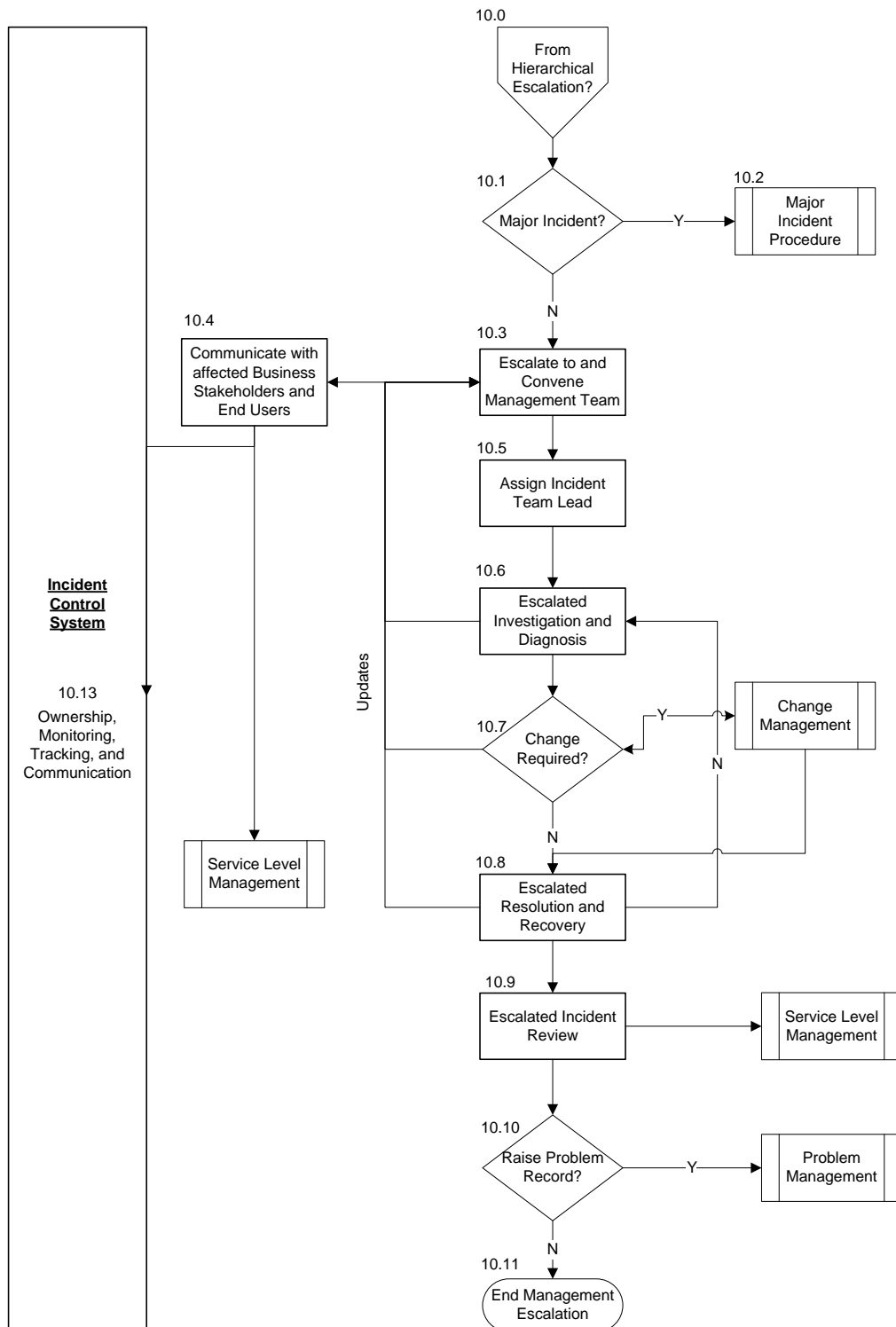
6.14 Major Incident Ownership, Monitoring, Tracking, and Communication

Objective	To establish Total Contact Ownership (TCO) through the Major Incident Procedure and ensure a single definitive source for information exists related to the Major Incident.
Policy	All Major Incidents will be owned and managed by the Major Incident Team and fully documented within the Incident Control System.
Input(s)	Major Incident Record Related Incident Records
Output(s)	Decision making, coordination of actions and efforts, information, and communication.
Status	NA
Description	<ul style="list-style-type: none"> • (A) The Incident Manager is Accountable for all Major Incidents. • (R,C,I) The Major Incident Team is Responsible, Consulted, and Informed throughout the Major Incident procedure. • (R,C,I) The Service Desk will be Responsible, Consulted, and Informed for being the single and definitive source of all information, and for: <ul style="list-style-type: none"> ○ Creating, updating, and documenting Incident Records. ○ Providing operational reports.

- All communication to End Users.
- (R,C,I) All Support Level 2/3 roles are Responsible to provide complete and accurate updates and information, to be Consulted at any time for information, and to be Informed of all status updates and new information.
- (I) The End User and Customer are Informed throughout the Major Incident.
- (I) All Processes and the Service Desk function itself are provided with data and information to support operational reporting.

Management Escalation Procedure

Management Escalation Procedure Flow



Management Escalation Procedure RACI Chart

Activities		Roles												
		Customer	End User / IT Staff	Service Desk Manager	Service Desk Analyst	Support Level 2/3	Incident Management Team	Incident Manager	Incident Analyst	Major Incident Procedure	Service Desk	Incident Management	Problem Management	Change Management
<u>MANAGEMENT ESCALATION PROCEDURE</u>														
10.01	Major Incident?		I	R,C,I	R,I			A,R,C,I		I	-	-		
10.02	Escalate to and Convene Incident Management Team			A,R				R,I	R,I		-	-		
10.03	Communicate with Affected Business Stakeholders and End Users				R,C,I	R,C,I					-	-		
10.04	Assign Incident Team Lead	I	I	A,R	R,I	R,C	I							R,I
10.05	Escalated Incident Investigation and Diagnosis			A,R			C,I				-	-		
10.06	Change Required?	I	I		R,I	C,I	A,R,C,I				-	-		
10.07	Escalated Incident Resolution and Recovery	I	I			R,C,I	A,I				-	-		I
10.08	Escalated Incident Review										-	-		
10.09	Raise Problem Record?			A,R	R,I	R,C,I	A,R,C,I				-	-	R,C,I	R,C,I
10.10	End Escalated Incident			A,R			R,C,I				-	-		I
10.11	Escalated Incident Ownership, Monitoring, Tracking, and Communication	I	I											

Procedure Steps Described

10.01 Major Incident?

Objective	To identify Major Incidents and manage them appropriately.
Policy	The Service Desk will treat all Incidents prioritized as "Priority 1" and "Priority 2" as a Major Incident.
Input(s)	Open, Categorized and Prioritized Incident Record
Output(s)	Open, Categorized and Prioritized Incident Record
Status	Open, Incident Record or Open Major Incident Record
Description	<p>All Major Incidents will be escalated to the Service Desk management level and handled with the utmost urgency.</p> <ul style="list-style-type: none">• (A,R,C,I) The Incident Manager will be Informed, Accountable, Responsible and Consulted when a Major Incident is detected.• (R,I) The Service Desk Analyst will be Responsible for hierarchically escalating all Major Incidents immediately to the Service Desk Manager, and will be Informed of the next steps to be taken.• (R,C,I) The Service Desk Manager is Responsible, Consulted and Informed of all Major Incidents detected, and to confirm the decision to raise a Major Incident and contact the Incident Manager.• (I) Incidents prioritized as Major Incidents trigger and are handled through the Major Incident Procedure.• (I) The End User / IT staff is Informed of the next steps to be taken.

10.02 Escalate to and Convene Incident Management Team

Objective	To assess and evaluate the situation and involve all appropriate resources and Third-Parties.
Policy	All Management Escalated Incidents will be managed by an appropriate team assigned by the Service Desk Manager.
Input(s)	Open, Escalated Incident Record New Assessment of Incident Priority.
Output(s)	Incident Management Team
Status	Open, Escalated Incident Record
Description	<p>The Incident Management Team will most likely span several support organizations, and may consist of the Service Desk, Incident Management, and Support Levels 2/3 and Third-Party organizations.</p> <ul style="list-style-type: none">• (A,R) The Service Desk Manager is Accountable and Responsible to form an appropriate Incident Team for escalated Incidents.

- Note that this team may consist of an individual, such as the Service Desk Manager.
- (R,C,I) The Service Desk Analyst may be delegated the Responsibility to escalate to and convene the Service Desk Team as well as the Incident Teams of related support Organizations as indicated by the SLA and supporting OLA/UC.
 - The Service Desk Analyst is Responsible, Consulted and Informed to communicate all related Record information to all parties that form the Incident Management Team.
- (R,I) The Incident Manager and/or Incident Analyst may be Informed and delegated Responsibility to be a part of the Incident Management Team.
- (R,C,I) All Support Level 2/3 roles related to the escalated Incident are Responsible, Consulted and Informed to be part of the Incident Management Team.

10.03 Communicate with affected Business Stakeholders

Objective	To manage Business expectations and provide a valued customer service by keeping the Business informed.
Policy	All escalated Incidents will result in the Service Desk providing all affected End User and Business stakeholders with Status Updates as determined by the Incident Management Team.
Input(s)	Impact assessments and status updates from the Incident Management Team
Output(s)	Email and voice communication (where appropriate)
Status	NA
Description	<p>Notifications to business stakeholders will be communicated through IT. Notifications to End Users will be communicated through the Service Desk (which may also include business stakeholders).</p> <ul style="list-style-type: none"> • (A,R) The Service Desk Manager is Accountable and Responsible to coordinate communication with the appropriate affected Business Stakeholders and End Users, and may escalate to the Incident Manager if Service Level Management requires notification of Service Level failures or near misses. • (R,I) Service Level Management is Informed and Responsible to communicate with Business Stakeholder Customer(s) if required. • (R,C,I) The Service Desk Analyst is Responsible, Consulted and Informed to communicate with End Users. • (R,C) All Support Level 2/3 roles and the Incident

Management Team are Responsible and Consulted to provide Incident status updates to the Incident Management Team and to be Consulted for updates.

- (I) The End User and Customer are Informed of status updates and progress.

10.04 Assign Incident Team Lead

Objective	To provide a single source of leadership and coordination during an escalated Incident.
Policy	All escalated Incidents will be coordinated and managed by a single Incident Team lead.
Input(s)	Incident Team members
Output(s)	Incident Team Lead and contact information.
Status	NA
Description	<ul style="list-style-type: none"> • (A,R) The Service Desk Manager is Accountable and Responsible to assign an Incident Team Lead (and may be this team lead) to be the single point of management and directing for team members. • (C,I) The Incident Team is Consulted for recommendations and Informed as to the prime contact and Incident Team lead.

10.05 Escalated Incident Investigation and Diagnosis

Objective	To determine the points of failure related to the Incident and to reassess the Impact and/or Urgency of the Incident in light of findings.
Policy	The assigned Incident role shall make all effort to determine the point(s) of failure leading to the Incident and to determine the quickest resolutions in order to minimize impact on the business.
Input(s)	Assigned Incident Record(s)
Output(s)	Diagnosed Incident Record
Status	Assigned, Diagnosed
Description	<ul style="list-style-type: none"> • (A,R,C,I) The Incident Management Team is Accountable for ensuring that all Incidents continue to be worked on and progressed. <ul style="list-style-type: none"> ○ This role is Responsible to follow up with all support stakeholders to obtain progress reports and updates. ○ This role will be Consulted for direction related to the Incident Record, and in turn will be Informed of any relevant new or changed information to the Incident. • (R,C,I) All Support Level 2/3 roles are Responsible for

providing and Consulted for information related to the Incident, and are Informed of any relevant new or changed information to the Incident.

- (R,I) The Service Desk Analyst is Responsible to update the Incident Management Team and Support Level 2/3 roles with all new information and updates from End Users.
 - The Service Desk Analyst is Informed of status updates and is Responsible to update all Incident Records and End Users with new information and updates.
- (I) The End User and Customer are kept informed through updates to **Step 10.03 Communicate with affected Business Stakeholders and End Users”.**

10.06 Change Required?

Objective	To manage and control all changes through formal Change Management.
Policy	All changes to hardware and software will be carried out under the Change Management process for all Normal and Emergency changes.
Input(s)	Investigated and Diagnosed Incident Record
Output(s)	RFC
Status	Assigned, Pending Change
Description	<p>All resolutions to IT Hardware and Software that are NOT pre-authorized Standard Changes will be forwarded to the Change Management process.</p> <ul style="list-style-type: none">• (A,I) The Incident Management Team will be Informed of all Changes and is Accountable for ensuring the Change Management process is initiated for all Incidents whose resolution requires submission of a Change.• (R,C,I) The Support Level 2/3 role requesting IT Change(s) is Responsible to Inform the Incident Management Team, Consult with other Support Level 2/3 roles, and follow the Change Process.• (I) The Change Management process is triggered when Informed of Changes.• (I) The End User and Customer are kept informed through updates to Step 10.03 Communicate with affected Business Stakeholders and End Users”.

10.07 Escalated Incident Resolution and Recovery

Objective	To determine the most likely to succeed resolution and to recover the points of failure related to the Incident.
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Policy	The assigned Incident role shall make all effort to determine the best course of action to recover the point(s) of failure leading to the Incident, including backout steps should the recovery fail or worsen the Incident.
Input(s)	Investigated and Diagnosed Incident Record
Output(s)	Recovered Incident
Status	Assigned, Recovered
Description	<p>When implementing resolution and recovery plans, backout steps should be determined wherever possible as a precaution to control escalating Incident Impact should the recovery fail or worsen the Incident. A recovery failure will be reversed wherever possible and will re-initiate Step 10.05 Investigation and Diagnosis.</p> <ul style="list-style-type: none"> • (A,R,C,I) The Incident Management Team will be Accountable for ensuring that all escalated Incidents are resolved and restored back to the End User. <ul style="list-style-type: none"> ○ This role is Responsible to follow up with all support stakeholders to obtain progress reports and updates. ○ This role will be Consulted for direction related to the escalated Incident Record, and in turn will be Informed of any relevant new or changed information to the Incident. • (R,C,I) All Support Level 2/3 roles are Responsible for resolving the Incident and restoring the service. <ul style="list-style-type: none"> ○ These roles are Consulted for progress and updates and Informed of any relevant new or changed information. • (R,C,I) All End Users will be Responsible to contact the Service Desk and report all new symptoms and information related to the Incident, will be Informed of all significant status changes and progress, and will be Consulted by the Service Desk Analyst for confirmation of success of the resolution and recovery. • (R,I) The Service Desk Analyst is Informed of Incident progress and updates, and is Responsible to consult with End Users to confirm successful resolution and recovery. • The End User and Customer are kept informed through updates to "Step 10.03 Communicate with affected Business Stakeholders and End Users".

10.8 Escalated Incident Review

Objective	To look for opportunity for improvement or to confirm process handling of Hierarchically Escalated Incidents.
Policy	All Hierarchically Escalated Incidents will be assessed for

Input(s)	opportunities to improve the escalation procedure. Assessments from the Incident Management Team and Service Level Management
Output(s)	Updated or maintained Management Escalation Procedure Possible Problem Record
Status	NA
Description	<ul style="list-style-type: none"> • (A,R) The Service Desk Manager is Accountable and Responsible to assess the Management Escalation Procedure, the effectiveness of the Incident Management Team, and to assess the involved Third-Party(s) and Service Desk. • (R,C,I) The Incident Management Team is Responsible and Consulted for review and recommendations, and is Informed of final review recommendations and outcomes. • (R,C,I) The Incident Manager and Service Level Management process are Responsible and Consulted for review of the Management Escalation Procedure and (if required) for Customer review, and is Informed of review recommendations. • (R,C,I) The Service Desk Analyst is Responsible, Consulted and Informed to ensure that all documentation is received and updated or attached to the Incident Record. • (R,C,I) Support Level 2/3 roles are Responsible, Consulted and Informed to provide all related documentation back to the Service Desk Analyst for Incident Record updating as the single source of all information relating to the Incident.

10.9 Raise Problem Record?

Objective	Prevent similar escalated Incidents from reoccurring.
Policy	All escalated Incidents should be evaluated for escalation to Problem Management to ensure that the cause is understood and that the Incident will not reoccur. Additionally, Problem Management will look to determine effective work-arounds and temporary measures to lessen Impact should the Incident happen again.
Input(s)	Incident Record and related Incident Records
Output(s)	Problem Management process activities
Status	NA
Description	<ul style="list-style-type: none"> • (A,R) The Service Desk Manager is Accountable and Responsible to evaluate the Escalated Incident and decide to request the raising of a Problem Record. • (R,C,I) The Incident Management Team is Responsible and Consulted for recommendations and assurances that the escalated Incident will NOT re-occur and that NO follow up

similar or related Incidents have re-occurred. This Team is Informed of the final recommendations and outcomes.

- (C,I) The Service Level Management Process is Consulted and Informed of the decision to raise a problem record and investigate the cause of the Major Incident.
- (R,C,I) Problem Management is Responsible, Consulted and Informed to evaluate the Escalated Incident and decide whether or not to raise a Problem Record.

10.10 End Escalated Incident

Objective	To return to the Incident process and close the escalated Incident Record.
Policy	All Incident Records are closed following the Incident process.
Input(s)	Incident Record
Output(s)	Incident Management process
Status	Resolved
Description	<ul style="list-style-type: none"> • (A,R) The Service Desk Manager is Accountable and Responsible to end the escalated Incident. • (C,I) The Incident Management Team is Consulted for final advice and Informed of the end of Incident activities and is disbanded. • (I) The Service Desk Analyst is Informed of the end of the escalated Incident. This triggers the return to the Incident Management Process to close the Incident.

10.11 Escalated Incident Ownership, Monitoring, Tracking, and Communication

Objective	To establish Total Contact Ownership (TCO) through the Escalated Incident procedure and ensure the Incident Control System is the definitive source for al Escalated Incident information.
Policy	All Escalated Incidents will be owned and managed by the Incident Management Team assigned to manage the situation, and will be fully documented within the Incident Control System.
Input(s)	Escalated Incident Incident Record
Output(s)	Decision making, coordination of actions and efforts, information, and communication.
Status	NA
Description	<ul style="list-style-type: none"> • (A,R,C,I) The Incident Management Team Lead is Accountable, Responsible, Consulted, and Informed throughout the Escalated Incident procedure. <ul style="list-style-type: none"> ○ Note that this Team is the Service Desk where

Incidents are NOT escalated to Incident Management.

- (R,C,I) The Service Desk will be Responsible, Consulted, and Informed for being the single and definitive source of all information, and for:
 - Creating, updating, and documenting Incident Records.
 - Providing operational reports.
 - All communication to End Users.
- (R,C,I) All Support Level 2/3 roles are Responsible to provide complete and accurate updates and information, to be Consulted at any time for information, and to be Informed of all status updates and new information.
- (I) The End User and Customer are Informed throughout the Escalated Incident.
- (I) All Processes and the Service Desk function itself are provided with data and information to support operational reporting.

Appendix A: Terms and Definitions

Term	Definition
Escalation	An activity that obtains additional resources when needed. It is most commonly associated with Incident Management or Problem Management. There are two escalation types: Functional and Hierarchical.
Facilities	The physical IT environment.
Functional Escalation	Transferring an Incident, Problem or Change to a technical team with a higher level of expertise to assist in an escalation.
Hierarchical Escalation	Informing or involving more senior levels of management to assist in an escalation.
Impact	A measure of the effect of an Incident, Problem or Change on business processes. Impact is often based on how service levels will be affected. Impact and urgency are used to assign priority.
Incident	An unplanned interruption to an IT service, or a reduction in the quality of an IT service, or a failure of a CI that has not yet impacted a service (for example, failure of one disk from a mirror set).
Level 1 Support	The first level in a hierarchy of Support Groups involved in the resolution of Incidents and Requests. Each level contains more specialist skills or has more time or other resources.
Level 2 Support	The Second Level in a hierarchy of Support Groups involved in the resolution of Incidents and Requests, and investigation of Problems. Each level contains more specialist skills or has more time or other resources.
Level 3 Support	The third level in a hierarchy of Support Groups involved in the resolution of Incidents and Requests, and investigation of Problems. Each level contains more specialist skills or has more time or other resources.
Major Incident	The highest category of impact for an Incident. A Major Incident results in significant disruption to the business.
First Contact Resolution (FCR)	An Incident that is reported to the Service Desk (Level 1 Support) and is Resolved by the Service Desk without escalation outside of the Service Desk.
Mean Time To Restore Service (MTRS)	The average time taken to restore a CI or IT service after a failure. MTRS is measured from when the CI or IT service fails until it is fully restored and delivering its normal functionality.
Normal Service	Normal service is defined as Service Operations within the Service Level Agreement as negotiated with the business.

Term	Definition
Priority	A category used to identify the relative importance of an Incident, Problem or Change. Priority is based on impact and urgency, and is used to identify required times and sequence for actions to be taken. For example, the SLA may state that Priority 2 Incidents must be resolved within 12 hours.
Recovery	Returning a CI or an IT service to a working state. Recovery of an IT service often includes recovering data to a known consistent state. After recovery, further steps may be needed before the IT service can be made available to the End Users (restoration).
Resolution	Action taken to repair the root cause of an Incident or Problem, or to implement a workaround. (In ISO/IEC 20000, Resolution Processes is the process group that includes Incident and Problem Management).
Service Request	A request from an End User for information, for advice, for a Standard Change or for access to an IT service. Service Requests are usually handled by a Service Desk and do not require an RFC to be submitted. See Request Fulfillment.
Procedures	Procedures used by IT Staff. Often referred to as Standard Operating Procedures (SOPs).
Support Group	A group of people with technical skills. Support Groups provide the technical support needed by all of the IT Service Management processes.
Urgency	A measure of how long it will be until an Incident, Problem or Change has a significant impact on the business. For example, a high Impact Incident may have low urgency, if the impact will not affect the business until the end of the financial year. Impact and urgency are used to assign priority.
Impact	A measure of the effect of an Incident, Problem or change on business processes. Impact is often based on how service levels will be affected. Impact and urgency are used to assign priority.
Urgency	A measure of how long it will be until an Incident, Problem or change has a significant impact on the business. For example, a high-impact Incident may have low urgency if the impact will not affect the business until the end of the financial year. Impact and urgency are used to assign priority.

Term	Definition
Priority	A category used to identify the relative importance of an Incident, Problem or change. Priority is based on impact and urgency, and is used to identify required times for actions to be taken. For example, the SLA may state that priority 2 Incidents must be resolved within 12 hours.
Service Level Agreement (SLA)	Written agreement between a Service Provider and the customer(s) that documents agreed service levels for a service.
Operating Level Agreement (OLA)	An agreement between an IT Service Provider and another part of the same organization. An OLA supports the IT Service Provider's delivery of IT services to customers. The OLA defines the goods or services to be provided and the responsibilities of both parties.
Underpinning Contract (UC)	A contract between an IT Service Provider and a third-party. The third-party provides goods or services that support delivery of an IT service to a customer. The UC defines targets and responsibilities that are required to meet agreed service target levels in an SLA.