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**SECTION G5  
TEAM 7**

**SMART CONTRACT PRODUCT (SCP)**

**INCIDENT MANAGEMENT PLAN**

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# Revision History

|  |  |  |  |
| --- | --- | --- | --- |
| Date | Version | Description | Author |
| 9-3-2019 | 1.0 | Initial write-up | Kenny Kwek, Ong De Lin, Janell Lee, Mark Tan, Lau Jun Rong |
|  |  |  |  |

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## 

## Introduction

### Purpose

The purpose of this document is to provide a general overview of the Incident Management Process. It includes Incident Management goals, objectives, scope, benefits, key terms, roles, responsibilities, authority, process diagrams and associated activity descriptions. This document is developed based on the ITIL framework.

### 

### Goals

The goals for the Incident Management process are to:

1. Restore normal operations in the shortest amount of time
2. Minimize the negative impact on business operations

### Critical-to-Quality (CTQs) & Key Performance Indicators (KPIs)

CTQs identified for the process of Incident Management and associated Key Performance Indicators (KPIs) are:

|  |  |
| --- | --- |
| **CTQ** | **KPI** |
| Ensure that standardized methods and procedures are used for efficient and prompt response, documentation, ongoing management and reporting of Incidents | Usage of IS214 ESM Ticketing System by all users |
| Usage of Slack for reporting of monitored incidents |
| Usage of Google documents and folders for documentation |
| Ability to track internal process performance and identify trends. | Assignment time from discovery of incident |
| Response time after assignment of ticket |
| Resolution time of the overall incident |
| Number of re-assigned tickets between departments. |

## Roles and Responsibilities

### IT Operations Manager

The IT Operations Manager is accountable for ensuring that the process is being performed according to the agreed and documented process and is meeting the aims of the process definition. He will report to the COO for any incidents.

The role includes responsibility for:

* Ensuring that the Incident Management process is fit for purpose
* Ensuring that proper Key Performance Indicators are set
* Ensuring that quality reports are produced, distributed and utilized
* Integrating the process into the organization
* Assisting with and ultimately responsible for the process design
* Defining appropriate requirements and standards to be employed throughout the process
* Documenting, training and publicizing the process including process changes
* Defining Key Performance Indicators (KPIs) to evaluate the effectiveness and efficiency of the process and design reporting specification
* Reviewing KPIs and taking the action required following the analysis
* Periodically auditing the process to ensure compliance to policy and standards
* Reviewing and initiating improvements in the tool, process, governance mechanisms and people

### Support Manager

The Support Manager is accountable to the IT Operations Manager. He performs the day-to-day operational and managerial tasks required by the process activities.

The role includes responsibility for:

* Document and publicize the process
* Define appropriate processes and standards for the process
* Ensure smooth operation of incident management resolution for Tier 1 to 3

### Tier 1 - Communication

Tier 1 - Communication will be at the frontline of the user support by communicating with the users who are reporting incidents. She will initiate, close and resolve tickets. She will escalate incidents which they cannot resolve to Tier 2 - Business Analyst. She is the main point of communication with users throughout the process

### Tier 2 - Business Analyst

Tier 2 - Business Analyst will monitor and track incidents. He will assign the incidents to Tier 3 - Dev and Infrastructure & Security for follow-up actions. He will determine the severity and whether incidents record requires special reporting. He will also investigates the nature and cause of incidents.

### Tier 3 - Dev and Infrastructure & Security

Tier 3 - Dev and Infrastructure & Security will investigate the nature and cause of incidents. He will resolve the cause of incidents and initiate change management process if incident requires one.

### Quality Assurance

The Quality Assurance will work alongside with the IT Operations Manager to define the KPIs to evaluate the effectiveness and efficiency of the process. He will also review opportunities to improve the efficiency and effectiveness.

## Process Activity and RACI Matrix

### Tier 1

#### Process Activity

|  |  |  |  |
| --- | --- | --- | --- |
| **Process activity** | **Description** | **Procedure** | **Metrics** |
| **Log, Categorize and Prioritize Incident** | Recording of the incident using the ticketing system to track and monitor the progress | * Incident logged into ticketing system * Include incident details * Incident is categorized * Incident is prioritized based on impact and severity | 1. Total number of incidents reported 2. Number of incidents by category 3. Number of incidents by priority |
| **Troubleshoot Using Knowledge Base** | Resolve incident ASAP if possible at the first point of contact to reduce impact | * Look through ticketing system to identify if similar incidents occurred previously * Use available knowledge to resolve the incident * Attempt to resolve the incident collaboratively with customer * Apply resolution if applicable | 1. Time to resolve incident 2. Incidents resolved using knowledge base |
| **Update Priority** | If multiple incidents of similar nature is reported, it may require escalation and additional resources | * Update priority of parent record based on impact and severity | 1. Number of high priority incidents |
| **Combine similar requests/reports** | Combine similar requests into one incident if there are multiple made. This reduces repeated and unnecessary resource usage to Tier 2 | - | - |
| **Confirm incident status with user** | Validation and confirmation of incident resolution with the customer | * Contact customer and request for confirmation on resolution of problem | 1. Length of time to closure |
| **Update Ticketing system** | Updating of the ticketing system on status for archiving and reference purposes | * Update ticket information and status and any information that contributed to the resolution | - |

#### RACI Matrix

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Activity** | **IT Ops Manager** | **Quality Assurance** | **Support Manager** | **Tier 1** | **Tier 2** | **Tier 3** |
| **Log, Categorize and Prioritize Incident** | I | C | A | R | C | I |
| **Troubleshoot Using Knowledge Base** | I | I | A | R | C | C |
| **Update Priority** | I | I | I | R | C | I |
| **Combine similar requests/reports** | - | - | I | R | - | - |
| **Confirm incident status with user** | - | - | I | R | - | - |
| **Update Ticketing system** | - | I | I | R | C | C |

### Tier 2

#### Process Activity

|  |  |  |  |
| --- | --- | --- | --- |
| **Process activity** | **Description** | **Procedure** | **Metrics** |
| **Validate and accept incident** | Verify that incident is assigned correctly, correct priority, valid incident and acknowledged | * Review incident for validity * Acknowledges the acceptance | 1. Number of records incorrectly assigned Incidents 2. Number of tickets by priority 3. Time to assignment |
| **Reporting Per Priority** | Reporting of incident depending on severity and priority | * Determine if incident requires escalation to support manger * If yes, report to support manger | 1. Number of tickets requiring escalation |
| **Use Existing Knowledge Base to begin Troubleshooting** | Troubleshoot to find out the problem or root cause | * Check knowledge base for information on similar incidents * Begin troubleshooting | 1. Number of incidents troubleshooted |

#### RACI Matrix

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Activity** | **IT Ops Manager** | **Quality Assurance** | **Support Manager** | **Tier 1** | **Tier 2** | **Tier 3** |
| **Validate and accept incident** | I | - | A | I | R | I |
| **Reporting Per Priority** | I | C | I,C | I | R | - |
| **Use Existing Knowledge Base to begin Troubleshooting** | I | - | A,I | - | R | C |

### Tier 3

#### Process Activity

|  |  |  |  |
| --- | --- | --- | --- |
| **Process activity** | **Description** | **Procedure** | **Metrics** |
| **Begin Incident Resolution** | Take initial steps required to resolve the incident | * Begin investigating cause and problems * Take steps required to resolve the incident * If resolution requires assistance from a vendor or the acquisition or encounter complexity, inform support manager | 1. Number of incidents resolved 2. Time to resolve incident 3. Number of high complexity incidents |
| **Determine if change is required to resolve incident** | If change is needed to resolve incident, then a change management process must be initiated | * If change is required, inform support manager to request for change approval * Confirm that change request is approved | 1. Number of incidents that require change to resolve |
| **Complete incident resolution** | Take necessary steps to complete the ticket | * Updates information on the ticket * Assigns ticket back to tier 1 | 1. Tickets with ‘resolved’ status |

#### RACI Matrix

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Activity** | **IT Ops Manager** | **Quality Assurance** | **Support Manager** | **Tier 1** | **Tier 2** | **Tier 3** |
| **Begin Incident Resolution** | I | - | A | I | I | R |
| **Determine if change is required to resolve incident** | C | I | C | - | - | R |
| **Complete incident resolution** | I | I | I | I | I | R |