

Title: UCF IT Incident Management Policy & Procedure	Effective: 12/15/2016
	Revised: 03/21/2019
Approved By: Michael Sink, Associate VP & COO, UCF IT	Page 1 of 15

Revision History			
Revision (Rev)	Date of Rev	Owner	Summary of Changes
Section I. (alpha); Incident Closure – Canceling Incidents	03/02/2017	Scott Baron	Added Section I. Cancel incidents procedure
Added Section I. Document Control	04/25/2018	Scott Baron	Added Section I. Document Control
Added Table of Contents	04/25/2018	Scott Baron	Added Table of Contents to top of document
Section III; Updated UCF IT definition	05/15/2018	Scott Baron	Updated UCF IT members definition as of May 2018
Section IV & Section V.	07/13/2018	Scott Baron	Consolidated email and phone number into one. Removed Live Chat as a contact
Section III; Updated	07/13/2018	Scott Baron	Added SLA and SLT definitions
Section I; Updated title & body	10/31/2018	Scott Baron	Updated title and paragraph body verbiage
Section III; UCF IT	03/21/2019	Scott Baron	Revised UCF IT definition as of March 2019

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I. DOCUMENT CONTROL AND APPROVALS

This document is authored, managed and governed by UCF IT Strategy and Planning. Final published versions have been approved by the UCF IT AVP & COO and ITSM Governance Committee members. No other parties have the authority to modify or distribute a modified copy of this document. For any questions related to the content of this document, please contact the UCF IT Performance and Service Management department.

II. OBJECTIVES

The goal of UCF IT Incident Management is to establish process in order to resolve UCF IT Support Center incidents as quickly as possible in a prioritized fashion with minimum disruption to university information systems, thus ensuring that the best achievable levels of availability and service are maintained. Incident Management will work together with Problem and Change Management to ensure that an incident is dealt with in the most effective and efficient way possible.

The Incident Management policy and procedure document provides structure and guidance to effectively and efficiently resolve issues involving ALL components of the IT supported infrastructure.

The scope of this process is limited to one type of ticket within the IT Service Management (ITSM) application (ServiceNow): Class Name = “Incident”.

III. DEFINITIONS

Incident: Implies something is broken or functioning in a degraded manner. Request from a user to fix something that is broken, not working or needs repair. Also known as a break/fix issue.

Service Request: Request (defined as a Class Name = “Requested Item” within ServiceNow) from a user for creating, modifying, adding, moving, or removing some or all service functionality, access, or infrastructure components.

Service Level Agreement (SLA): An agreement between an IT service provider and a customer. A service level agreement describes the IT service, documents service level targets (SLTs), and specifies the responsibilities of the IT service provider and the customer.

Service Level Target (SLT): A commitment that is documented in a service level agreement. Service level targets are based on service level requirements and are needed to ensure that the IT service is able to meet business objectives. They should be SMART and are usually based on key performance indicators (KPIs).

Problem: Is the unknown underlying cause of one or more incidents.

Known Error: The root cause of the problem is established and the affected asset is identified.

Work Around: A temporary resolution to a problem pending identification and verification of the root cause.

Incident Manager - The Tier 1 manager of the UCF IT Support Center will serve as UCF IT's designated Incident Manager. In this role, they will be ultimately responsible for ensuring that incidents are properly categorized/prioritized, tracked, escalated, and managed through resolution. The Incident Manager serves the purpose of incident governance and is NOT responsible for the actual resolution of the issue.

User: The field within ServiceNow which identifies the individual requesting assistance with an incident or service request. This is the customer (User).

Opened By: The field within ServiceNow which identifies the individual that actually creates (submits) the ticket.

Work Notes: A field within ServiceNow used to document activities associated with the incident. This field is internally facing to ServiceNow fulfillers.

Activity Log: A field within ServiceNow that is systematically logged which captures all activities of a ticket such as email notifications sent, work notes updates, additional comments added or changes to any fields.

IT Service Management (ITSM) application: This is the application (ServiceNow) used by UCF IT to record incidents, problems, requests and changes.

VIP - When a ticket is created using VIP affiliated job positions, an identifier of VIP on the ticket is populated. The User (customer) or on behalf of will drive the ticket to either be Yes or No for a VIP status. See Appendix A for the current job position listings.

UCF IT (as of March 2019): College of Arts and Humanities, College of Business Administration, College of Community Innovation and Education, College of Health Professions and Sciences, College of Sciences, Computer Services and Telecommunications, Student Development and Enrollment Services, Digital Learning, College of Undergraduate Studies, Office of Instructional Resources, UCF Connect, University Libraries, Human Resources, UCF Foundation, Student Health Services

First Call Resolution (FCR) – Is defined as an incident resolved on the initial call from the customer including warm transfers or additional tier support while the customer is still on the phone.

IV. POLICY

UCF IT staff members will record and document within the ITSM application ALL user requests for assistance in regard to break/fix issues. UCF IT staff members will follow the Incident Management procedures to review, follow up and resolve these tickets in a timely manner. All incidents are expected to be resolved within the targeted Service Level Agreement (SLA); Reference Figure 1.1 for current service level targets (SLTs) & definitions.

The UCF IT Support Center is the primary point of contact for all customers and will be available by multiple methods, including Web, Email or Telephone to facilitate incident or service request submissions.

- Web – via self-service portal page: <https://ucf.service-now.com/ucfit>
- Email – itsupport@ucf.edu
- Telephone – 407-823-5117

Requests for assistance for something broken or functioning in a degraded manner will be recorded as incidents in the ITSM application (ServiceNow) and will be subject to SLA measurements and reporting.

V. PROCEDURES

A. Service Desk Ticket Registration

There are currently three ways for a user to contact the UCF IT Support Center and request assistance:

- *Web*
A UCF IT Support Center agent creates and triages (if applicable) the web request (either an incident or service request) from the “new call” queue

OR

The customer directly submits a service request through the service catalog, which is systematically triaged to the service owner

- *Email* – A UCF IT Support Center agent converts the email request into a ServiceNow ticket (either an incident or service request)
- *Telephone* – A UCF IT Support Center agent captures all required information and creates a ServiceNow ticket (either an incident or service request)

The customer (User) is sent an automated acknowledgement email when the ticket is created within ServiceNow.

B. Incident Categorization and Prioritization

No matter if the incident can be resolved at the point of call or point of contact, the UCF IT Support Center agent and/or UCF IT staff member must properly categorize/prioritize the incident and assign to the correct UCF IT group/staff member for resolution if needed.

a. Incident Priority Codes

Upon creation of an incident, the ticket must be prioritized by the UCF IT Support Center into one of three priority categories (Critical, High and Normal) per the matrix defined in Figure 1.1.

Escalation of an incident DOES NOT change the Priority code. See section F. for Escalation procedures.

If the Priority code was incorrectly set after ticket creation, the ServiceNow Assignment Group manager or a Service Desk Assignment Group member will have access rights within ServiceNow to update the Priority code.

Figure 1.1

Priority	Business Impact	Urgency	Response	Resolution Time
Critical	Prevents ability to perform job function - <u>Impacts an instructor led Classroom</u>	Immediate resolution required - No work around (at a job function standstill) - Unable to perform limited/other job duties	All immediate and sustained effort using ALL required resources until resolved	1 hour
	Prevents ability to perform job function - <u>Impacts the entire University, entire building or delivery of patient care</u>	Immediate resolution required - No work around (at a job function standstill) - Unable to perform limited/other job duties	All immediate and sustained effort using ALL required resources until resolved	4 hours
High	Prevents ability to perform job function - <u>Impacts one or multiple users</u>	Priority to resolve as soon as possible post mitigation of higher prioritized issues - No work around (at a job function standstill) - Unable to perform limited/other job duties - VIP (or on behalf of)	Assess the situation, may interrupt other resources working lower priority issues for assistance	1 business day
Normal	Reduces job productivity and/or capacity - Impacts University, an entire building or one or multiple users	Immediate resolution NOT required - Still able to perform limited/other job duties	Respond using standard procedures and operating within normal supervisory management structures.	3 business days

C. Incident Tracking

The Incident Manager will monitor open incidents and administer they are resolved based on SLA guidelines. The SLA pre-breach e-mail notifications (auto-generated by ServiceNow) will alert the ticket assignee and his/her Manager/Director at various points during the life of an incident for Critical and High priority tickets (reference Figure 1.2). It is up to each UCF IT department leader to ensure the SLA is met, not the Incident Manager.

Figure 1.2

CRITICAL - INSTRUCTOR LED CLASSROOM		
% Breach	Hour	Notification workflow
0%	Created	UCFDG-OIR-Incident

CRITICAL		
% Breach	Hour	Notification workflow
0%	Created	Service Desk AG
25%	1	*AG Manager
50%	2	AG Manager/**Director
100%	4	AG Manager/Director

HIGH		
% Breach	Hour	Notification workflow
44%	4	AG Manager/Director
67%	6	AG Manager/Director

*AG - Assignment Group in ServiceNow

**Director - Assignment Group's 2nd-level Manager

D. Incident State Codes/Stopping the Clock for SLA targets

There are seven State codes that can be chosen during the lifecycle of an incident from create to close. The State codes below are defined and also reflect when the SLA clock starts and stops (pauses).

- New - The incident is logged and is either sitting unassigned in a team's queue or is assigned to a particular individual. Work to resolve the incident has not begun and the SLA clock IS running.
- Active – Work to resolve the issue has begun and the incident is assigned to a particular individual. The SLA clock IS running.
- Pending (Paused): An incident can ONLY be put into a Pending (Paused) state following these three scenarios. Each of these three scenarios indented/underlined is a State within ServiceNow.
 - Awaiting User Info - If there is not enough information on the ticket from the customer, the ticket should be changed to a State of Awaiting User Info. Once additional information is received from the customer, the ticket should be placed back into an Active State. The work notes should be updated routinely with this type of scenario. The SLA clock stops (pauses) while the ticket is in Awaiting User Info.
 - Awaiting Vendor - If an incident is opened and the resolution cannot be met due to influences out of UCF IT's control, then the incident should be changed to a State of Awaiting Vendor. The work notes should be updated routinely with this type of scenario. If a Problem ticket is dependent on vendor resolution, then the Awaiting Vendor State should be selected for the associated Incidents. The SLA clock stops (pauses) while the ticket is in a State of Awaiting Vendor
 - Awaiting User Confirmation – If the assignee of the incident believes the issue is Resolved, then the ticket should be changed to a State of Awaiting User Confirmation. The assignee of the incident is responsible to follow the incident closure procedure (Section G). The SLA clock stops (pauses) while the ticket is in an Awaiting User Confirmation State.
- Awaiting Problem - When the incident is placed in an Awaiting Problem State, then this means the Problem is being worked. If the Problem resolution is not dependent on influences outside of UCF IT's control, then the SLA clock will continue to run. Once the Problem has been resolved, all associated Incidents may be resolved and should follow the incident closure procedure (Section G.)
- Resolved – The assignee of the incident receives confirmation from the customer that their issue is resolved, or the assignee of the ticket reached out to the customer three different times (Incident Closure - State of Resolved - Section G.) and did not receive an answer. The SLA clock stops (pauses) while the ticket is in a Resolved status.
- Closed – The customer has confirmed their issue has been resolved or the assignee of incident was unsuccessful in contacting the customer upon three different attempts to confirm issue resolution. This State is systematically

driven within ServiceNow and is auto-set three days after a ticket is changed to a Resolved State.

E. Incident First Call Resolution (FCR)

a. UCF IT Support Center Incident FCR

If a UCF IT Support Center agent submits an incident with a Contact type of Phone through the New Call form within ServiceNow, the submitter (Opened By) of the incident is required to identify if the ticket was First Call Resolution (FCR).

If the Contact type is Phone, Call type is Incident and State is Draft or Submission then once the ticket is submitted a dialog box will appear asking “was this issue resolved point of call?” If marked OK, then the check box will be checked automatically on the New Call form and the related incident record will also have the checkbox marked.

If the ticket does not qualify for FCR, then Cancel should be selected from the dialog box and the incident should be triaged to a specific IT group/staff member for he/she to review the ticket information and determine how it should be resolved. Non FCR tickets would follow the full life cycle of an incident from assignment to resolution. Once the assigned individual on the incident believes they resolved the issue, they should put the ticket in an Awaiting User Confirmation State and then follow the incident closure procedure (Section G).

F. Incident Escalation

Incidents should only be escalated through verbal or written communication. Escalation DOES NOT change the Priority of the incident.

G. Incident Closure – State of Awaiting User Confirmation

After the incident is set to an Awaiting User Confirmation State, it is MANDATORY the assignee of the ticket contact the customer to confirm the issue is resolved before the ticket can be changed to Resolved. If the assignee of the ticket is unable to speak with the customer upon the first contact, the assignee should leave a voicemail (if available) message for the customer containing their name, phone number and the ticket number.

The assignee of the ticket must make two more attempts using one other method of communication (ex. email or instant message) on two subsequent business days, preferably at different hours each day (e.g., do not attempt all three calls at 9 AM in case your customer will never be available at that time of the day). If an out of office (OOO) email is received, the assignee of the ticket must wait until the customer returns to contact a third time. The work notes must be updated with each contact attempt.

If after three attempts of trying to contact the customer with no success, the assignee is permitted to close the ticket by changing its status to Resolved and note in the work notes that multiple attempts have been made with no customer contact.

Upon moving the incident to Resolved, the assignee of the ticket will be responsible to send out the blanket email (Figure 1.3) notifying the customer their ticket is going to be closed due to multiple attempts to contact with no response.

Figure 1.3

UCF IT Blanket Email for Incident Closure - Resolved

Dear "Name of Customer"

Thank you for contacting the UCF IT Support Center. To the best of our knowledge, your incident "INC#" has been resolved. However, after multiple attempts, we have been unsuccessful in getting a response to confirm. We would like to inform you that we will be marking your ticket resolved assuming you are having no further issues.

You will receive an automated email from the UCF IT Support Center that gives you the option to reopen your issue within three days. After the third day, your incident will auto-close. If for any reason you have questions and/or concerns, please contact the UCF IT Support Center at 407-823-"XXXX".

Sincerely,

UCF IT Support Center

H. Incident Closure – State of Awaiting User Info

Per Section D; Pending of this policy, an incident qualifies to be put in a state of Awaiting User Info if the assignee of the ticket needs additional information from the customer to work the issue. If the assignee of the ticket is unable to speak with the customer upon the first contact to get the additional information, the assignee should leave a voicemail (if available) message for the customer containing their name, phone number and the ticket number.

The assignee of the ticket must make two more attempts using one other method of communication (ex. email or instant message) on two subsequent business days, preferably at different hours each day (e.g., do not attempt all three calls at 9 AM in case your customer will never be available at that time of the day). If an out of office (OOO) email is received, the assignee of the ticket must wait until the customer returns to contact a third time. The work notes must be updated with each contact attempt.

If after three attempts of trying to contact the customer with no success, the assignee is permitted to close the ticket by changing its status to Resolved and note in the work notes that multiple attempts have been made with no customer contact.

Upon moving the incident to Resolved, the assignee of the ticket will be responsible to send out the blanket email (Figure 1.4) notifying the customer their ticket is going to be closed due to multiple attempts to contact with no response.

Figure 1.4

UCF IT Blanket Email for Incident Closure – Awaiting User Info

Dear "Name of Customer"

Thank you for contacting the UCF IT Support Center. There is additional information needed in order for our technicians to complete this ticket. We have tried multiple times to contact you in regards to incident "INC#" that you opened with the UCF IT Support Center. Unfortunately, we have been unsuccessful in getting a response. We would like to inform you that we will be marking your ticket resolved assuming you are having no further issues.

You will receive an automated email from the UCF IT Support Center that gives you the option to reopen your issue within three days. After the third day, your incident will auto-close. If for any reason you have questions and/or concerns, please contact the UCF IT Support Center at 407-823-XXXX.

Sincerely,

UCF IT Support Center

I. Incident Closure – Canceling Incidents

a. Converting an Incident to a Service Request

If upon receiving an incident within ServiceNow and it is determined the customer inquiry is in fact a service request, then the incident assignee is allowed to cancel the incident within ServiceNow. Before canceling the incident, it is MANDATORY the incident assignee opens a service request on behalf of the customer to ensure the customer's request is logged within ServiceNow.

The incident assignee is also required to update the Additional comments (Customer visible) field of the incident record to notify the customer of what their new RITM number (service request number) is and that they (the incident assignee) will be canceling the incident.

An automated email will be sent from ServiceNow notifying the customer that their incident has been canceled and they will also receive an email notification for their new service request that was opened on their behalf.

b. Customer request to Cancel Incident

If the customer indicates to the incident assignee that their inquiry is no longer needed, the incident assignee is allowed to cancel the incident. This should only be executed if the customer communicates to the assignee of the incident that they no longer have an issue and troubleshooting and resolution is no longer required.

VI. ADDITIONAL CONSIDERATIONS

- All existing and new staff members of IT are expected to be familiar with the intent and the contents of the incident management policy and procedure.
- All violations to the incident management policy will be monitored, staff members of IT will be coached by the respective management and repeat offences could lead to additional disciplinary action.

VII. APPENDIX

Appendix A: VIP Job Positions

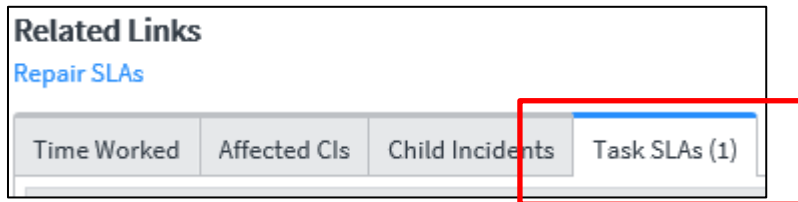
C1	Chairperson
C2	Associate Chairperson
C3	Assistant Chairperson
C4	Center Director
D1	Dean
D2	Associate Dean
D3	Assistant Dean
D4	Dean of Faculties
H1	Department Head
H2	Associate Department Head
H3	Assistant Department Head
J1	Vice Pres., Graduate Studies
J2	Associate VP, Graduate Studies
J3	Assistant VP, Graduate Studies
L1	Director, University Libraries
L2	Assoc. Dir., Univ. Libraries
L3	Assist. Dir., Univ. Libraries
M1	Vice Pres., Medical Affairs
M2	Associate VP, Medical Affairs
M3	Assistant VP, Medical Affairs
O1	Vice President, Research
O2	Associate Vice Pres., Research
O3	Assistant Vice Pres., Research
P0	President
P1	Provost
P2	Associate Provost
P3	Assistant Provost
P4	Vice Provost
R1	District Director
R2	Associate District Director
R3	Assistant District Director
T1	Director
T2	Associate Director
T3	Assistant Director
T4	School Director
U1	Director, University School
U2	Assoc. Director, Univ. School
U3	Assist. Director, Univ. School
U4	Principal, University School
U5	Assist Principal, Univ. School
V1	Vice Pres., Academic Affairs
V2	Associate VP, Academic Affairs

V3	Assistant VP, Academic Affairs
V4	Vice President
V5	Associate Vice President
V6	Assistant Vice President
Y1	General Counsel
Y2	Associate General Counsel
Y3	Assistant General Counsel
Z0	Chancellor
Z1	Vice Chancellor
Z2	Associate Vice Chancellor
Z3	Assistant Vice Chancellor
Z4	Executive Vice Chancellor

Appendix B: Task SLA within ServiceNow

Within ServiceNow, the SLA definition (Critical, High or Normal) is attached to the incident within the Task SLA section/tabbed form view. Per Figure 1.1 above, the SLA definition attached to the incident will be driven off the Priority of the incident.

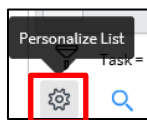
Tabbed form view



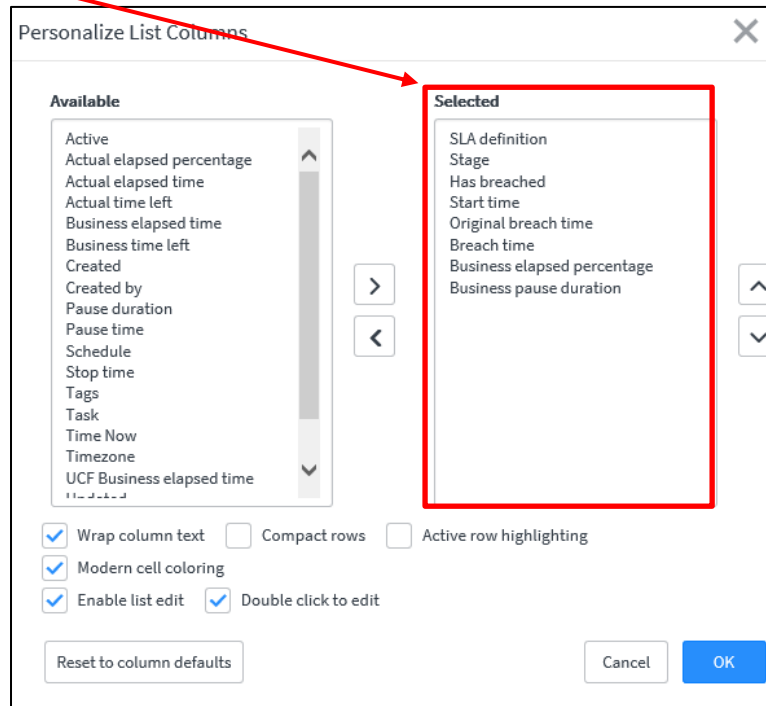
Section view



In order to reflect accurate data within this section/tabbed form view, only certain column list attributes should be selected. To personalize your list columns, select the gear icon.



A pop up window will appear and you should select the available attributes in the Selected column view below.



The definitions of each Selected column attribute in this view are as follows:

- **SLA definition** – Will reflect Critical (1 or 4 hr. SLA), High (1 business day (9 hr.) SLA) or Normal (3 business days (27 hr.) SLA)
- **Stage** – Will show Completed (once the incident is moved to a Resolved State), In progress (incident is not sitting in a Pending State) or Paused (incident is sitting in a Pending State). Reference Section D. above for Pending States
- **Has breached** – Will show true (if breached) or false (if not breached)
- **Start time** – When the SLA clock starts. This is the create date and time of the incident
- **Original breach time** – If the incident is NEVER put into a Pending State, Original breach time will reflect end date and time of when the incident will breach
- **Breach time** – If the incident is put into a Pending State at any point, this field will reflect the updated breach time of the incident. If the incident is never put into a Pending State, then this field will equal the Original breach time field

- **Business elapsed percentage** – (Total business time elapsed minus Pending time) / SLA (whether 1, 4, 9 or 27 hours).

The Business elapsed percentage field calculates automatically (from 8:00 AM to 5:00 PM; Monday - Friday excluding holidays) within ServiceNow at different points of the incident lifecycle:

- If incident is to breach within 10 min: every minute
- If incident is to breach within 1 hour: every 10 min (XX:X5:00) between 8:00 AM and 5:00 PM
- If incident is to breach within 1 day (9 hours): every hour (XX:30:00) between 8:00 AM and 5:00 PM
- If incident has already breached: every day at 8:00 AM
- If incident is to breach within 30 days and > 1 day: every day at 8:00 AM

OR

If SLA pre-breach email notification are system generated at the specified time intervals identified within Figure 1.2. Normal SLA system generated email notifications are sent out at 50%, 75% and 100%

- **Business pause duration** – Reflects total actual time the incident was sitting in a Pending State. This field does not convert to business days and hours. An example would be if an incident is sitting in a Pending State 10 hours, this field will show 10 hours and not 1 business day and 1 hour.

Related Links
Repair SLAs

Time Worked | Affected Cls | Child Incidents | Task SLAs (1)

Task SLAs Go to Breach time Search

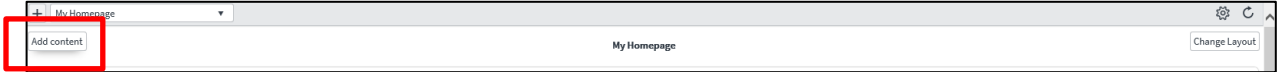
Task # INC0033284

	SLA definition	Stage	Has breached	Start time	Original breach time	Breach time ▲	Business elapsed percentage	Business pause duration
<input type="checkbox"/>	High response (High - 1 day)	In progress	true	11/10/2016 03:22:32 PM	11/14/2016 03:22:32 PM	11/16/2016 03:22:32 PM	518.08	18 Hours

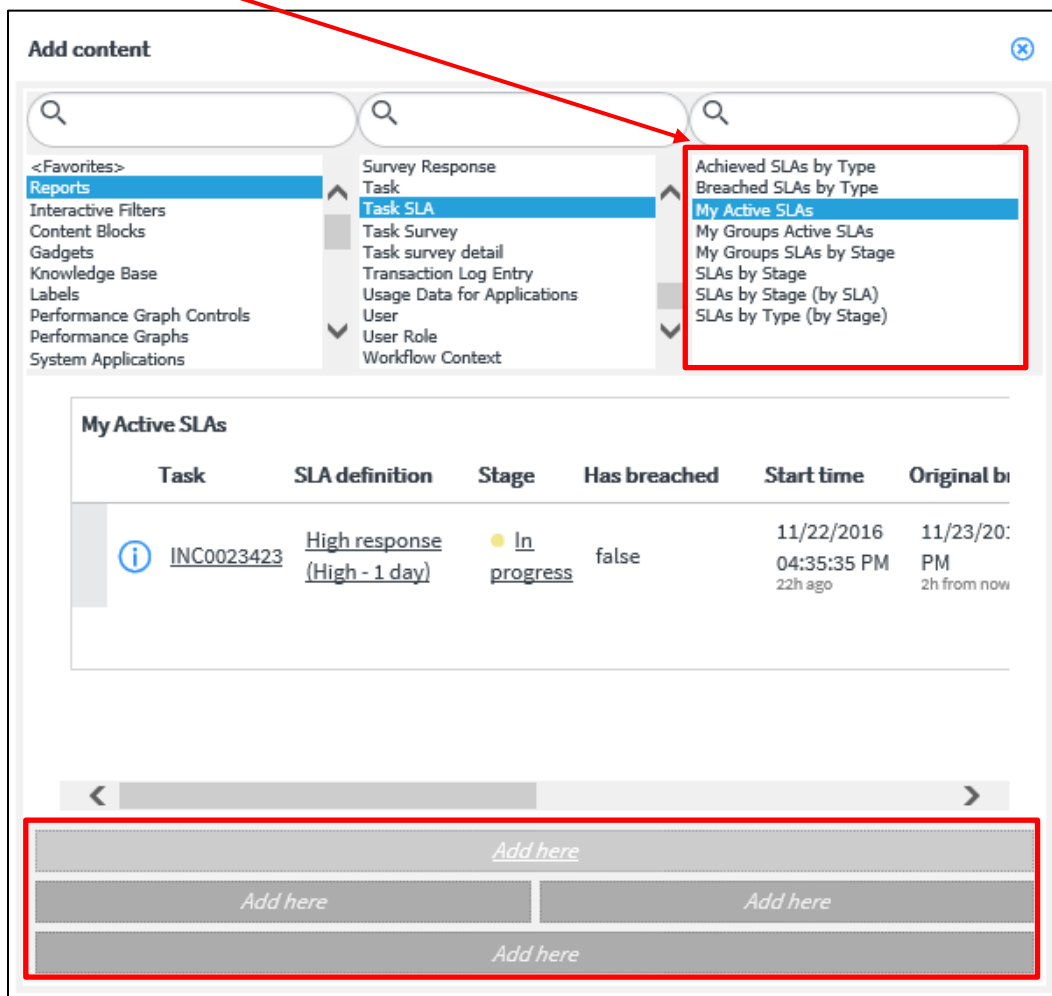
Actions on selected rows

Appendix C: Creating Task SLA Dashboard on “My Homepage” within ServiceNow

Click on Add content



Select Reports/Task SLA and then you can choose per the Reports reflected on the far right side. Recommendation: Add My Active SLAs by clicking Add here.



Add content

<Favorites>



- Reports
- Interactive Filters
- Content Blocks
- Gadgets
- Knowledge Base
- Labels
- Performance Graph Controls
- Performance Graphs
- System Applications

Survey Response

- Task
- Task SLA**
- Task Survey
- Task survey detail
- Transaction Log Entry
- Usage Data for Applications
- User
- User Role
- Workflow Context

- Achieved SLAs by Type
- Breached SLAs by Type
- My Active SLAs**
- My Groups Active SLAs
- My Groups SLAs by Stage
- SLAs by Stage
- SLAs by Stage (by SLA)
- SLAs by Type (by Stage)

My Active SLAs

Task	SLA definition	Stage	Has breached	Start time	Original b
 INC0023423	High response (High - 1 day)	 In progress	false	11/22/2016 04:35:35 PM 22h ago	11/23/20: PM 2h from now

Add here

Add here *Add here*

Add here