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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
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 October 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, 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.

- 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, Assignment Group manager’s manager or Service Desk Assignment Group member will have access rights within ServiceNow to update the Priority code.

**Figure 1.1**

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

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

There are nine 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 four scenarios. Each of these four 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 Administrative Time** – Per University or UCF IT directive, normal operations conclude earlier than normal business hours due to planned or unplanned events (i.e. weekday home football game, UCF IT department wide events (picnics, sporting events), unplanned campus closure, etc.) If the incident assignee is impacted and is unable to work on

<table>
<thead>
<tr>
<th>CRITICAL - INSTRUCTOR LED CLASSROOM</th>
<th>CRITICAL</th>
<th>HIGH</th>
</tr>
</thead>
<tbody>
<tr>
<td>% Breach</td>
<td>Hour</td>
<td>Notification workflow</td>
</tr>
<tr>
<td>0%</td>
<td>Created</td>
<td>UCFDGOIR-incident</td>
</tr>
<tr>
<td>25%</td>
<td>1</td>
<td>AG Manager</td>
</tr>
<tr>
<td>50%</td>
<td>2</td>
<td>AG Manager/**Director</td>
</tr>
<tr>
<td>100%</td>
<td>4</td>
<td>AG Manager/Director</td>
</tr>
</tbody>
</table>

*AG - Assignment Group in ServiceNow
**Director - Assignment Group’s 2nd/level Manager
the incident, the incident should be changed to a State of Awaiting
Administrative Time when the event time approaches. The following
business day, the incident assignee is responsible to put the incident back
in its previous State. The SLA clock stops (pauses) while the ticket is in
an Awaiting Administrative Time 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 incident reached
out to the customer three different times (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 business days after a ticket is
changed to a Resolved State.

- **Canceled** - Unable to reach customer with limited information on incident
  record (most likely due to the incident being raised in error/prematurely by
customer), incident no longer required per confirmation from customer,
remove duplicate ticket(s) or incorrectly submitted incident convert to service
request

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 incident contact the customer to confirm the issue is resolved before the incident can be changed to Resolved.

The customer will also receive an automated email upon the incident assignee setting the incident state to Awaiting User Confirmation which will allow the customer to accept the proposed solution to their issue. The automated email DOES NOT negate the assignee of the incident to reach out to the customer to confirm their issue is resolved. The automated email only serves the purpose of allowing the customer to confirm their issue is resolved through another medium. If the customer does accept the solution proposed to the incident through the automated email, then the assignee of the incident no longer needs to attempt to contact the customer. The incident will be changed to Resolved systematically.

While monitoring the incident solution being accepted through the automated email (or via through the self-service portal), the assignee of the incident should continue to contact the customer to confirm their issue is 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 (and the customer does not accept the solution through the automated email), the assignee is permitted to close the ticket by changing its state 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.
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 Support Center that gives you the option to reopen your issue within three business days. After the third business day, your incident will auto-close. If for any reason you have questions and/or concerns, please contact the UCF IT Support Center at 407-823-5117.

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.
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 Support Center that gives you the option to reopen your issue within three business days. After the third business day, your incident will auto-close. If for any reason you have questions and/or concerns, please contact the UCF IT Support Center at 407-823-5117.

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.

c. Duplicate records (incidents) for same issue/same customer

If there are multiple incident records for the same issue/same customer, the incident assignee is permitted to cancel all but one of the incident records. Before canceling the incident(s), it is **MANDATORY** the incident assignee attempts to contact the customer letting them know they are canceling all but one record.

d. Inadvertent or premature incident record raised by customer

If an incident record contains little to no information (incident record appears to be raised on error or prematurely) and the incident assignee is unable to reach the customer, then the incident assignee is permitted to cancel the incident record. Before canceling the incident, it is **MANDATORY** the incident assignee attempts to contact the customer letting them know they are canceling the record.

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.
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
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

![Tabbed form view](image)

Section view

![Section view](image)

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:XX: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.
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.