TfL Major Incident Review Process

APPROVED
ONLY IF SIGNED AND PRINTED IN RED
DATE: 25/01/2012
SIGNED: *Kate Gash*

Document Information

Document History

Version	Date	Author	Description of Changes
0.1	25/03/08	D.Vine	Formalised into TfL Template
0.2	20/03/11	A.Gohil	Section Revisions
0.3	03/10/11	B. Olofinjana	Section Revisions – included the new reference documents on page 11
1.0	05/10/11	B. Olofinjana	Uploaded to Share Point
1.1	25/01/12	Anish Gohil	Header amended to show 'IM' name. Footer amended to show version 1.1. 3.0 - Added IM On Call Escalation Manager. 5.1 – Reference to latest version of Major Incident Management process updated.
1.1	31/01/12	Anish Gohil	Uploaded to Sharepoint

Approval

Name	Signature	Title	Date	Version
Darren Vine	*DVine*	Service Centre Manager	05/10/2011	1.0
Kate Gash	*Kate Gash*	IM Service Operations Manager	25/01/2012	1.1

Revision History

To ensure compliance the Major Incident Management Process will be independently audited regulary (quarterly). For further details on audit see section 4 Verification and Validation

Table of Contents

1   Introduction

1.1   Purpose

The purpose of this document is to describe the sequence of events and responsibilities of the process to be followed in conducting a Major Incident Review Meeting.

This process:

- Assesses how effectively a Major Incident has been managed and to identify any improvements that can be made when managing future incidents.

- Reviews the impact of a major incident and determines what actions can be taken to further minimise the impact of major incidents on business operations in the future.

- Ensures that any deficiencies in the process for managing major incidents are identified and recorded to facilitate improvements to the process

Note: No minutes are distributed from the Major Incident Review Meeting; instead, the findings of the Review must be documented in the Major Incident Report:

(See document located in the Major Incident Report folder - CISVFL008\MSD\Problem Management\Major Incident Reports),

The report must be distributed to all those involved in the incident as well as any other interested parties.

1.2   Scope

This process applies to all major incidents as defined within the TFL Service Catalogue and will be followed once a major incident has been closed

1.3   Assumptions

- This process assumes that the resources identified within this process will have the appropriate skill sets and professional qualifications required to exercise their responsibilities as defined.

- This process assumes there will be working operational level agreements and underpinning contracts in place that reflects the participation responsibilities of all parties in regards to major incident review meetings.

1.4 Roles and Responsibilities

The following table specifies the responsibilities of each role identified within the execution of the Major Incident Review process.

Role	Responsibilities
Major Incident Manager	- Chairs Major Incident Review Meeting - Consolidates all data to facilitate the production of the Major Incident Report - Creates Major Incident Report - Distributes Major Incident Report and hands over to the Problem Management team to ensure all actions are tracked and progressed through to completion
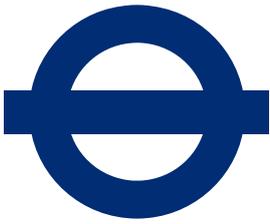
2   Major Incident Management Process

The following process map provides a high level view of the sub-process activities within the TfL Major Review Process

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        ┌─────────────────────┐
        │   Major Incident    │
        │      Closure        │
        └─────────────────────┘
                  │
        ①         ▼
        ┌─────────────────────┐
        │     Schedule        │
        │     Meeting         │
        └─────────────────────┘
                  │
        ②         ▼
        ┌─────────────────────┐
        │    Meeting Held     │
        └─────────────────────┘
                  │
        ③         ▼
        ┌─────────────────────┐
        │   Major Incident    │
        │      Report         │
        │     Produced        │
        └─────────────────────┘
                  │
        ④         ▼
        ┌─────────────────────┐
        │   Major Incident    │
        │      Report         │
        │    Distributed      │
        └─────────────────────┘
                  │
                  ▼
        ┌─────────────────────┐
        │    Process Ends     │
        └─────────────────────┘
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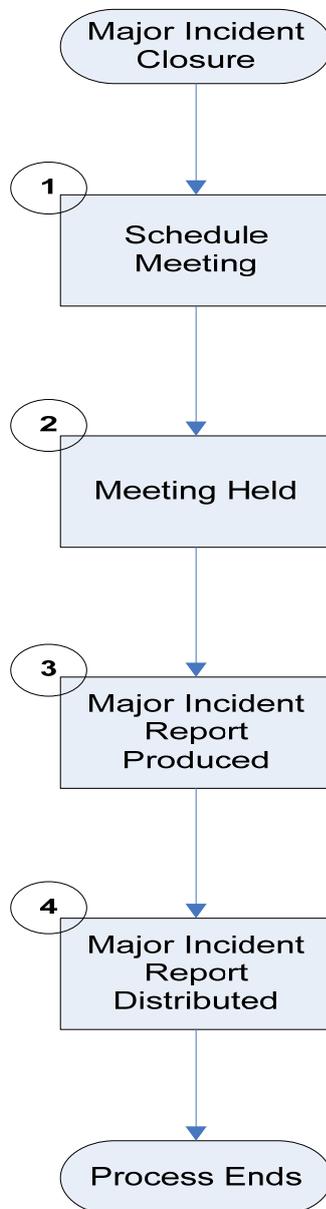
3 Major Incident Management Process Activity Descriptions

The following table provides a high-level view of the process activities within the Major Incident Review Process

Step	Activity Description	Who:
1	Schedule Meeting	Major Incident Manager
Inputs:	Major incident closed, as per the Closure Sub Process defined in the Major Incident Management Process	
Actions:	Major Incident Manager schedules Meeting with all those involved in the incident (involved means that they had a part to play in activities related to the event). Suggested attendees include: - Resolution Group Technical Lead - Resolution Group Team Leader / Manager(s) - Service Desk Manger / Service Desk Team Leader(s) - Problem Manager - Change Manager - Availability Manager - Capacity Manager - IT Services Continuity Manager - Service Delivery Manager - IM On Call Escalation Manager - Business Relationship Manager(s) **Notes:** - Since some of these people may not be able to attend a face to face meeting, it is advisable to ensure that Dial-In access is enabled for the meeting. Also, ensure that an agenda and any documents for discussion are sent out in advance by e-mail. - Due to the potential technical content of the team, it is recommended that customers are not invited, but that Business Relationship Manager(s) represent customer's interests. - If key personnel who have been involved in the incident are unable to attend, then a deputy from the same team should attend.	

	• Discretion may be required as to who should attend from a resolution group, particularly if numerous members of their team have been involved in an incident.
Outputs:	• Major Incident Review Meeting Scheduled • Agenda distributed along with any supporting
Next Step:	• Ensure meeting is accepted by the required attendees • Escalate to Service Delivery Manager or Functional Mangers any failures by required attendees to respond to request • Arrange meeting room and conference facilities

Step	Activity Description	Who:
2	Meeting Held	Major Incident Manager
Inputs:	• Incident record(s) and related documentation • Chronological event log • Copies of communications • Details of applied fixes / workarounds • System reports / logs • Test Scripts • Feedback from customers • Process / Procedure Documentation • Operational Level Agreements	
Actions:	• Chairs meeting and provides a brief summary of the incident • Directs attendees on the objectives and the purpose of the meeting • Ensures the meeting can complete all its objectives within the allotted time • Records all feedback received at the meeting and may request that additional information is provided after the meeting. • Agrees further actions • Tasks owners with any required actions • Agrees timeframes actions should be completed by • Agrees any requirement for follow-up discussions.	

Outputs:	- All data relevant to the production of the Major Incident Report has been captured. - All lessons learnt have been recorded - Incident record to be updated - Any further actions or tasks required have been identified
Next Step:	Consolidates all information for production of Major Incident Report

Step	Activity Description	Who:
3	Major Incident Report Produced	Major Incident Manager
Inputs:	All data relevant to the production of the Major Incident Report	
Actions:	Documents Major Incident Report to include: - Management Summary - Incident details - Chronological list of tasks / actions undertaken to restore service - Incident resolution details - Service Level Breaches - Service Improvement recommendations - Lessons learnt - Further actions and tasks (with owners identified and time frames for completion)	
Outputs:	Major Incident report created	
Next Step:	Actions and tasks raised within the Major Incident Report are progressed in line with documented recommendations.	

Step	Activity Description	Who:
4	Major Incident Report Distributed	Major Incident Manager
Inputs:	Agreed Distribution List	
Actions:	• Distributes report to all attendees of the Major Incident Review Meeting and interested parties • Major Incident report distributed to TFL Service Delivery • A hand over to the Problem Management has taken place to ensure all actions are tracked and progressed through to completion	
Outputs:	• Major Incident Report Distributed	
Next Step:	• Store a copy of the Report	

4   Verification and Validation

To ensure compliance with the Major Incident Management process, the Major Incident Review Process will be independently audited regularly (quarterly). The audit should include an examination of the following items.

- Randomly selected Major incident Records

- Actions raised at Major Incident Review Meetings are recorded and implemented in line with agreed recommendations
- Entries to Service Level Improvement Register have been progressed
- Progress of actions and tasks recorded in selected Major Incident Report

Detailed checks will be made to ensure that: -

- All recommendations, associated tasks and actions identified as part of the major incident review meeting have been progressed in accordance with the agreements made and documented within the Major Incident Report

4.1 Exit Criteria

The process is deemed complete when the following tasks have been completed:

- The Major Incident Report has been completed and distributed. A hand over has been given to the Problem Management team to ensure all actions are tracked and progressed through to completion

5   Appendices

5.1 References

Reference	Description
TfL Incident Management Process	The primary objective of Incident Management is to coordinate restoration of normal service operation as quickly as possible, and communicate the resolution.
Major_Incident_Management_Procress_1.1	This document describes the standard process for Major Incident Management within TfL Delivery Operations and demonstrates the sequence of events and responsibilities when managing major incidents. It provides a mechanism to coordinate actions of the service organisation to contain the effects, direct and indirect on TFL business operations.

5.2 Major Incident Report Template

See document located in the Major Incident Report folder - CISVFL008\IMSD\Problem Management\Major Incident Reports
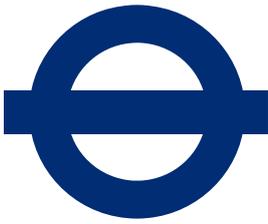
5.3 Key Terms, Acronyms or Abbreviations and Definitions

TERM	DEFINITION
Availability	Ability of a component or service to perform its required function at a stated instant or over a stated period of time. It is usually expressed as the availability ratio, i.e. the proportion of time that the service is actually available for use by the Customers within the agreed service hours.
Change	The addition, modification or removal of approved, supported or base lined hardware, network, software, application, environment, system, desktop build or associated documentation.
Change control	The procedure to ensure that all Changes are controlled, including the submission, analysis, decision making, approval, implementation and post implementation of the Change.
Change Management	Process of controlling Changes to the infrastructure or any aspect of services, in a controlled manner, enabling approved Changes with minimum disruption
Closure	When the Customer is satisfied that an incident has been resolved
Configuration Management	The process of identifying and defining Configuration Items in a system, recording and reporting the status of Configuration Items and Requests for Change, and verifying the completeness and correctness of Configuration Items.
Customer	Recipient of a service; usually the Customer management has responsibility for the cost of the service, either directly through charging or indirectly in terms of demonstrable business need.
Event	An event is a change of state that has significance for the management of a configuration item or IT service.
Impact	Measure of the business criticality of an Incident. Often equal to the extent to which an Incident leads to distortion of agreed or expected service levels.
Incident	Any event that is not part of the standard operation of a service and that causes, or may cause, an interruption to, or a reduction in, the quality of that service.
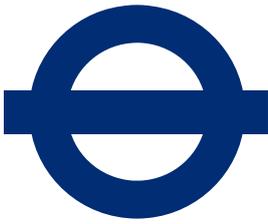
TERM	DEFINITION
Known Error	An Incident or Problem for which the root cause is known and for which a temporary Work-around or a permanent alternative has been identified. If a business case exists, an RFC will be raised, but, in any event, it remains a known error unless it is permanently fixed by a Change.
Priority	Sequence in which an Incident or Problem needs to be resolved, based on impact and urgency.
Problem	Unknown underlying cause of one or more Incidents
Process	A connected series of actions, activities, Changes etc. performed by agents with the intent of satisfying a purpose or achieving a goal
Request for Change (RFC)	Form, or screen, used to record details of a request for a Change to any CI within an infrastructure or to procedures and items associated with the infrastructure.
Resolution	Action that will resolve an Incident This may be a Work-around.
Service Level Agreement	A written agreement between a service provider and Customer(s) that documents agreed service levels for a service.
Work-around	Method of avoiding an Incident or Problem, either from a temporary fix or from a technique that means the Customer is not reliant on a particular aspect of a service that is known to have a problem.