Incidents v Issues

20 March 2024

Background

- Following a discussion around the difference on how 'issues' and 'P2 incidents' are managed in January & February 2024 CoMC, the below action was taken:

  - ACTION 0204: CDSP (MD & DJ) to provide a presentation detailing the demarcation between Issues and Incidents, detailing the commitments, resourcing and escalation process for each.

- The following slides provides an overview of the difference between how an 'issue' and a 'P2 incident' is categorised and some examples of recent issues & how they were managed.

Incident Management

- A Major Incident is defined as an event which has an immediate significant impact or urgency for the business or organisation. P1 and P2 incidents require immediate attention and mobilisation of resources to mitigate the impacts and restore normal (per SLA) service levels as quickly as possible.

- See below table highlighting P1-P3 priority rationale* along with associated actions.

+ Priority	Description	Actions
P1	• Incident having **immediate significant** industry wide impact • Complete Loss of an operationally critical business service • Complete Loss of multiple services • IT Incident leading to a high-risk of Health & Safety incident • Confirmed uncontrolled security incident	• Dedicated Major Incident Manager to manage the restoration activities. • Comms distributed (SMS & Email) to internal stakeholders. • Issue Resolution team engaged. External Customer communications issued where required. • Minutes and actions are distributed and managed via dedicated Team's channel. • Updates & incident progress are communicated to the customer via the incident ticket.
P2	• Complete loss of a critical business service • Partial loss of a critical business service causing operational issues • Controlled / controllable Infrastructure/Server breach/Cyber attack • Significant number of confidential/PII records lost/breached with potential for significant reputational or financial damage to Correla and / or Xoserve.	• Dedicated Major Incident Manager to manage the restoration activities. • Comms distributed (SMS & Email) to internal stakeholders. • Issue Resolution team engaged. External Customer communications issued where required. • Minutes and actions are distributed and managed via dedicated Team's channel. • Updates & incident progress communicated to the customer via the incident ticket.
P3	• Several users of a System or Service are impacted • Any incident escalated to this level by the Customer • Minor loss of infrastructure • Moderate number of end users affected • Loss of service resilience	• Handled directly by the appropriate technical resolver group. • Updates & Incident progress communicated to the customer via the incident ticket.

* These may be modified by individual contract arrangements + These are derived as a combination of Impact/Urgency

Problem Management

- A Problem/Issue is an underlying cause of one or more incidents. It represents an unknown or unresolved underlying issue.

- Unlike an incident, problems may not always be immediately visible or disruptive at the time. It requires investigation and analysis to understand the root cause, often involving collaboration across multiple technical and functional stakeholders.

- A problem record helps efficient management of actions across teams to resolve/ mitigate the issue as effectively as possible. Like incidents, we have a robust problem prioritisation matrix to categorise problem records allowing resources to be allocated appropriately to focus on resolving issues that have the greatest impact to our customers.

Priority	Description	Actions
1	• Critical problem requiring immediate attention. • Issue has a significant customer or operational impact. • Issue directly affected external / internal users and multiple systems.	• **Response**: Initiate an urgent response team to address the problem promptly and effectively • **Communication:** Communicate the problems severity and impact to relevant stakeholders, customers and end users. • **Resource**: Allocate necessary resources, such as technical expertise to expedite the problem and resolve as quickly as possible. • **Root cause:** Conduct thorough root cause analysis to identify the underlying issue contributing to the problem enabling the implementation of permanent fixes or workarounds to prevent recurrence.
2	• An issue that if not addressed could result in a Major incident or have significant consequences to normal operations if not addressed promptly	• **Prompt attention:** Acknowledge potential significant impacts if not addressed promptly • **Resources:** Allocate appropriate resources to address the problem efficiently, balancing the urgency of the issue with other operational priorities. • **Communication**: Communicate severity and impact to relevant stakeholders, customers and end users. • **Root cause:** Conduct thorough root cause analysis to identify the underlying issue contributing to the problem enabling the implementation of permanent fixes or workarounds to prevent recurrence.
3	• Problem that has moderate impact on operations or customer. • Core business services available with a workaround in place. • Enduring solution required	• **Schedule attention**: Schedule activities based on impact and urgency relative to other operational priorities

A P1 or P2 incident will always have a problem record raised once service availability initially returned to normal

Problem Management

- Although Xoserve have a robust prioritisation matrix and processes for categorising 'problem issues', following feedback, we have identified an improvement to broaden the existing priority matrix from a 3x3 to a 5x5 matrix.

- This will give enhanced flexibility to accommodate a wider range of issues and adapt our approach to enable a more precise assessment of the severity. It will allow us to tailor and align more closely with the needs and priorities of our customers.

Priority	Impact	Urgency
1	Critical/Severe – issue affected external / internal users and multiple systems.	Core business services now available with an unsustainable workaround in place. Enduring solution or fix required **immediately.**
2	High – issue affected a large percentage of users and primary services.	Core business services now available with an (extensive, costly) workaround in place. Enduring solution required (can bear minor delays).
3	Medium/Significant - Affects limited percentage of users and secondary systems	Core business services now available with a workaround in place. Enduring solution required (can bear minor delays).
4	Minor - Single user / Minimal user level impact	Operations unaffected, non-urgent service.
5	Planning – No impacts to system or users	Operations unaffected, non-urgent requirements. Customer experience may be improved.

Issue v Incident

- A P2 incident is categorised when there is a current issue impacting customers and immediate actions are required to resolve and mitigate the impact on customers.
- Example of a P2 incident:
  - Files submitted by customers or sent to customers are not being processed due to a system failure/performance
  - Performance issues with a service (e.g. GES & GES APIs)
  - User unable to access services e.g. CMS, Gemini, UKLink Portal
- An issue is where it has been identified that there has been a failure of a system or process that was not identified at the time, but services are currently working as expected.
- Example of an issue:
  - Meter readings were not processed
  - Meter readings incorrectly rejected
  - Incorrect data submitted in a file to a customer

Previous Examples of Issues

Issue Description	How Identified	Remedial Actions	Time between Date Discovered & Date Resolved
Shipper registration not recorded on UKLink impacting 139 MPRNs. Notification from CSS on 13 February 2024 for registrations to be effective on 14 February 2024.	CSS notified following a ticket raised by Supplier to DCC service desk	1. Communication issued to impacted Shippers on 22 February 2024 with impacted MPRNs. 2. Registrations processed on 23 February with an effective date of 24 February 2024. 3. GES CSS registration effective date updated 4. Meter reads estimated and issued to Shippers	22 February to 8 March 2024 when estimated transfer read will be calculated & issued (where read does not exist for the effective date).
Estimated Shipper transfer meter readings not calculated between September 2023 and December 2023, this has impacted 1,222 meter points across 6 Shippers	Query raised by a customer on 19 December 2023	1. Communication issued to impacted Shippers on 14 February with impacted MPRNs. 2. Estimated transfer meter readings calculated & submitted to both Incoming & Outgoing Shipper. 3. Reconciliation processes triggered.	19 December 2023 to 16 February 2024 when estimated meter reading calculated.
Class 3 & 4 meter readings incorrectly rejected. This was due to a batch job failure. Child jobs failing in the system was not identified as alerting was currently only at the parent job level.	Query raised by a customer on 27 December 2023	1. Comm notifying customers issued on 5 January 2024. 2. Impacted Class 4 meter readings issued to Shippers on 9 January 2024 3. All meter readings were re-processed on 9 & 10 January. 4. All Class 3 meter readings issued to Shippers on 19 January 2024.	27 December 2023 to 19 January 2024 when final communication issued. Delay in sending Class 3 meter readings due to a report that needed to be developed to extract the impacted MPRNs.
On 26 August 2023, 89 files were not processed: Base Registration Notification (BRN) and Supply Meter Point Amendment (SPC).	An incident was raised by a customer on 12 September 2023	1. Notified impacted customers on 20 September 2023 and actions Shippers can take to update the data in CDSP systems.	12 September to 20 September 2023.