

# FLORIDA COURTS E-FILING AUTHORITY HELP DESK POLICIES & PROCEDURES

## Introduction

The Florida Courts E-Filing Authority (“Authority”) was created and established in order to: (1) design, develop, implement, operate, upgrade, support and maintain the E-Filing Portal (“Portal”) through contract with the Florida Association of Court Clerks, Inc., a.k.a. Florida Court Clerks & Comptrollers (“Association”) and/or its wholly owned subsidiary FACC Services Group, LLC (“Services Group”); and (2) provide the most economic and efficient method for e-filing Court Records. To that end, the Authority finds it necessary to provide full-time, available, and responsive Help Desk Services to support Portal Users.

## Purpose

The primary purpose of the Help Desk Policies and Procedures (“Policy”) is to ensure that Portal Users receive prompt, accurate, and professional service.

To meet the service support requirements of Portal Users, the Association shall implement a central point of contact for handling all customer support. The Help Desk is the key functional area that is responsible for managing, coordinating, resolving, and maintaining Portal User service support.

The Policy identifies the process flow which shall be utilized by the Help Desk to ensure that no request is lost, forgotten, or ignored and that each request is handled expeditiously. This Policy shall apply to all individuals who provide services on behalf of the Association to Portal Users.

## Policy

This Policy focuses on a commitment to customer service by ensuring the recording of the life-cycle of incidents, problems, software and hardware release/deployment, and configuration management. The objective of this Policy is to improve and extend the overall service to customers and users.

The Policy is separated into three sections: 1) General Service Desk 2) Customer Service Support; and 3) Technical and System Support. Customer Service Support is assistance provided to Portal users, whereas Technical and System Support is assistance provided to various Clerks’ offices.

## SECTION 1: GENERAL SERVICE DESK

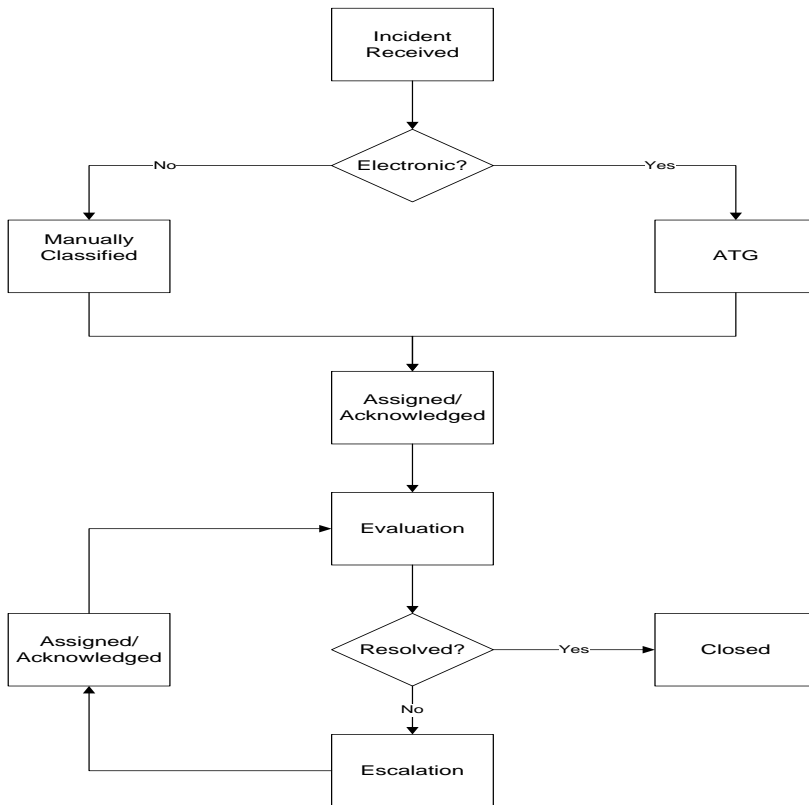
**Help Desk support technologies include (but are not limited to) the following:**

- HEAT
  - BPAM
  - HEAT Voice
  - ATG
  - HSS (pending implementation)

- Electronic mail (Internet and email system)
- Telephone system

### Incident Escalation Process

- Incident
  - Electronic – automatically logged and categorized through ATG
  - Phone call - manually logged and categorized through Tier I
- Evaluated
- Assigned to a functional group or service area
- Acknowledged by staff
- Worked
- Resolved or Escalated



Based on the information provided by the customer, first-line support shall determine the following:

- Budget Area – Application type, e.g. E-Filing or E-Recording
- Category – e.g. software, hardware
- Call Type – e.g. financial, imaging
- Source – e.g. phone, e-mail
- Status – e.g. open, closed
- Priority level

- Level 1 - Critical incident
- Level 2 – Urgent incident
- Level 3 – Standard incident
- Level 4 - Scheduled incident

Help Desk support levels:

- First-line support – Support Specialist I
- Second-line support – Tier I, Application Specialist I
- Third-line support – Tier II, Application Specialist II

**Incident Closure:**

- Upon resolution of the incident the customer is notified.
- If resolution requires a change the Help Desk will perform a functional escalation to one of the following areas:
  - Problem Management
  - E-Portal Project Team
  - Application Development Team
  - TAP Team
  - Systems Engineering
  - Release/Deployment
  - Change Management

The initial incident record shall be closed and a problem record shall be created. The problem record shall be linked to the initial incident record by the control number. Once the problem record is resolved the Help Desk shall notify the customer. The CAB shall be notified of the pending change request and the release/deployment process shall be utilized.

**Early Life Support:**

Early Life Support (ELS) provides the opportunity to transition a new or changed service to Service Operations in a controlled manner to set customer and service support expectations. The Association shall determine the entry and exit criteria from early life support.

During the ELS period, the incident acknowledgement requirements shall be as follows:

When the incident is reported, it shall be logged into the HEAT system. The incident shall then be transferred directly to a Help Desk Support Analyst. The Analyst shall gather more information from the customer and shall attempt to resolve the issue. If further assistance/escalation is required in order to resolve the incident; the Analyst shall immediately escalate the incident to the next level of support.

- The duration shall be established as a two (2) week period. ELS shall be reviewed by the Association each week to determine if ELS should be continued.

## **Roles and Responsibilities**

Help Desk activities include:

- Service Support
- Incident and problem escalation
  - Customer change request (service request)
  - Identify customer training needs
  - Identify service deficiencies
- Software release/deployment
  - Rollout planning
  - Sign-off of the release for implementation
  - Installation of new or upgraded hardware
  - Release, distribution and the installation of the software
- Tracking of configuration items

The roles of Service Support:

- IT Management Staff – responsible for the oversight of all service support processes
- Service Center Manager – manages the daily operations of all service center functions
- Support Administrator I – acts as a liaison between the various groups to facilitate a smooth and timely delivery of the support.
- Support Specialist – responsible for first-line support
- Application Support Analyst I – responsible for second-line support
- Application Support Analyst II – responsible for third-line support
- TAP Team – responsible for on-site hardware and software support
- E-Portal Project Team – responsible for business analysis, requirements gathering, training, and documentation
- Application Development Team – performs all required changes to the software
- Quality Assurance Team – ensures that the release has been tested and meets all specifications and requirements
- System Engineering and Operations – ensures that any necessary network and hardware changes are identified
- Change Advisory Board – ensure that all changes are done in accordance with release/deployment and change management policies
- Service Support
- Incident and problem escalation
- Customer change request (service request)
- Identify customer training needs

## **Reports**

Reports shall be provided to the Authority on a monthly basis. Below is a list of reporting information that shall be provided monthly after the Association fully implements and has begun fully operating the Help Desk.

Reporting Information:

Help Desk information:

1. How many incidents were received during that month.
2. How many incidents were closed during that month.
3. How many incidents are still open at the end of the month.
4. Average resolution time for incidents in that month.
5. Average acknowledgement time for incident in that month.

E-Portal Project Team information:

1. How many incidents & problem management tickets were received during that month.
2. How many incidents & problem management tickets were closed during that month.
3. How many incidents & problem management tickets are still open at the end of the month.
4. Average resolution time for incidents & problem management in that month.
5. Average acknowledgement time for incident & problem management in that month.

From time to time, the Authority and the Association shall analyze the normal E-Portal acknowledgement requirements and ELS E-Portal acknowledgement requirements to determine if they should be updated and revised.

### **Security**

The Association shall protect all personal information collected in the course of performing Help Desk services by utilizing a combination of security technologies, secure-information handling procedures, and organization measures to help protect personal information from unauthorized access, use or disclosure.

The Association shall secure all data when transferring over the Internet or internally at each Association site. All Help Desk personnel shall comply with the Association's Security Policies and Procedures, dated October 2009, as amended from time to time.

### **Confidentiality**

The Association shall ensure that all Help Desk personnel comply with the confidentiality requirements set forth in Sections 16 and 17 of the Agreement for Design, Development, Implementation, Operation, Upgrading, Support and Maintenance of Statewide E-Filing Court Records Portal.

## SECTION 2: CUSTOMER SERVICE SUPPORT

### **Functions:**

- Ensure customer satisfaction
- Operate on the principle that customer satisfaction and perception is critical
- Blending people, processes, and technology to deliver quality customer service
- Managing the incident (requests) lifecycle
- Making the initial assessment of requests and attempting to resolve them
- Keeping the customer informed of request status and progress
- Managing known errors – problem management
- Coordinating functional escalation
- Identifying customer training and education needs

### **Availability:**

Customers may submit incidents electronically or via voice message to the Help Desk 24 hours a day, 7 days a week. Currently incidents submitted electronically are automatically logged into the HEAT system.

- The Association shall provide Customer Service Support Monday – Friday, excluding holidays. The hours of operation shall be from 8:00 a.m. to 5:00 p.m. Eastern Time.
- Portal users shall have the ability to leave a voicemail after hours. Voicemails shall be checked the morning of the following business day and calls shall be returned promptly.
- Hours of operation may be adjusted based on demand from Portal users and any other operational consideration by mutual agreement between the Authority and the Association.

### **Acknowledgment Requirements:**

The following acknowledgement requirements are not based on hard realistic data at this time. The Authority and the Association shall review these requirements on a monthly basis for the first year in order to complete a trend analysis. The Authority recognizes that during Early Life Support (ELS) of new system enhancements, and as new functionality is added, the intake of incidents will likely spike and the normal acknowledgment requirements may vary.

#### Normal E-Portal acknowledgement requirements:

- Within a minimum of five (5) business days – required to be acknowledged by first-line support
- Within a minimum of six (6) business days – if incident is not acknowledged by first-line support an automated e-mail is sent to second-line support notifying them of the incident.
- Within a minimum of seven (7) days – if incident is not acknowledged by second-line support an automated e-mail is sent to the third-line support
- Within a minimum of eight (8) days – if incident is not acknowledged by third-line support an automated e-mail is sent to the Support Administrator and the Help Desk Manager.

#### ELS E-Portal acknowledgement requirements:

- Within a minimum of ten (10) business days – required to be acknowledged by first-line support

- Within a minimum of twelve (12) business days – if incident is not acknowledged by first-line support an automated e-mail is sent to second-line support notifying them of the incident.
- Within a minimum of fourteen (14) days – if incident is not acknowledged by second-line support an automated e-mail is sent to the third-line support
- Within a minimum of sixteen (16) days – if incident is not acknowledged by third-line support an automated e-mail is sent to the Support Administrator and the Help Desk Manager

The Help Desk shall not be responsible for supporting the test environments. Anything that is not a live production issue shall be logged into the HEAT system. The incident shall then be transferred directly to the E-Portal Project Team for these types of issues that do not fall under Normal E-Portal acknowledgement requirements or ELS E-Portal acknowledgement requirements.

Help Desk personnel are not officers of the court and are not attorneys licensed to practice law in the State of Florida, therefore, they shall not provide any type of legal advice concerning any case or funds.

Help Desk personnel are not sworn deputy clerks and, therefore, any incidents relating to local procedures and county operations shall be directed to the local Clerk’s office.

<b>SECTION 3: TECHNICAL AND SYSTEM SUPPORT</b>
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**Functions:**

- Ensure customer satisfaction
- Operate on the principle that customer satisfaction and perception is critical
- Blending people, processes, and technology to deliver quality customer service
- Managing the incident (requests) lifecycle
- Making the initial assessment of requests and attempting to resolve them
- Keeping the customer informed of request status and progress
- Managing known errors – problem management
- Coordinating functional escalation
- Identifying customer training and education needs

**Availability:**

Customers may submit incidents electronically or via voice message to the Help Desk 24 hours a day, 7 days a week. Currently incidents submitted electronically are automatically logged into the HEAT system.

- The Help Desk staff is available Monday through Friday from 8:00 a.m. to 5:00 p.m. Eastern Time. The Association shall monitor the call volume, which shall be included in the monthly reports to the Authority.
- After hours Help Desk system support will be provided upon request and a minimum of seven (7) days’ notice.
- After hours 24/7 technical on-call support shall be provided to ensure that no unscheduled technical interruptions occur for the Portal.

## **Acknowledgement Requirements:**

The following acknowledgement requirements are not based on hard realistic data at this time. The Authority and the Association shall review these requirements on a monthly basis for the first year in order to complete a trend analysis. The Authority recognizes that during Early Life Support (ELS) of new system enhancements, and as new functionality is added, the intake of incidents will likely spike and the normal acknowledgment requirements may vary.

Normal E-Portal acknowledgement requirements:

- Within a minimum of five (5) business days – required to be acknowledged by first-line support
- Within a minimum of six (6) business days – if incident is not acknowledged by first-line support an automated e-mail is sent to second-line support notifying them of the incident.
- Within a minimum of seven (7) days – if incident is not acknowledged by second-line support an automated e-mail is sent to the third-line support
- Within a minimum of eight (8) days – if incident is not acknowledged by third-line support an automated e-mail is sent to the Support Administrator and the Help Desk Manager.

ELS E-Portal acknowledgement requirements:

- Within a minimum of ten (10) business days – required to be acknowledged by first-line support
- Within a minimum of twelve (12) business days – if incident is not acknowledged by first-line support an automated e-mail is sent to second-line support notifying them of the incident.
- Within a minimum of fourteen (14) days – if incident is not acknowledged by second-line support an automated e-mail is sent to the third-line support
- Within a minimum of sixteen (16) days – if incident is not acknowledged by third-line support an automated e-mail is sent to the Support Administrator and the Help Desk Manager

The Help Desk shall not be responsible for supporting the test environments. Anything that is not a live production issue shall be logged into the HEAT system. The incident shall then be transferred directly to the E-Portal Project Team for these types of issues that do not fall under Normal E-Portal acknowledgement requirements or ELS E-Portal acknowledgement requirements.

Help Desk personnel are not officers of the court and are not attorneys licensed to practice law in the State of Florida, therefore, they shall not provide any type of legal advice concerning any case or funds.

Help Desk personnel are not sworn deputy clerks and, therefore, any incidents relating to local procedures and county operations shall be directed to the local Clerk's office.



## Definitions

**Acceptance:** Formal agreement that an IT service, process, plan or other deliverable is complete, accurate, reliable and meets its specified requirements.

**Application:** Software that provides functions that are required by an IT service. Each application may be part of more than one IT service. An application may run on one or more servers or clients.

**Auto Ticket Generator (ATG):** A module of HEAT that creates and modifies call records directly from email system and ASCII text files.

**Beta:** A limited release to selected customers for user acceptance testing. The beta testing time varies depending on the complexity of the release.

**Business Process Automation Module (BPAM):** A HEAT module created to monitor call record business rules and perform related actions.

**Call Type:** A Category that is used to distinguish incoming requests to a Help Desk. Common call types are incidents and service requests.

**Category:** Categories are used to group similar incident, types, things together.

**Change:** The addition, modification or removal of anything that could have an effect on IT Services.

**Change Advisory Board (CAB):** The board appointed by the Association. Meets regularly to review Requests for Change (RFC), to monitor the effectiveness of the Change Management Policy (CMP) and consists of two representatives (i.e. primary and secondary) from each of the departments with the Association. Additionally a CAB librarian is appointed to maintain a record of the CAB's activities, document meeting minutes, generate reports from HEAT of the submitted RFCs, and manage a calendar of scheduled changes.

**Change Management:** The process responsible for controlling the lifecycle of all changes. The primary objective of change management is to enable beneficial changes to be made with minimum disruption to IT services.

**Configuration:** A generic term used to describe a group of configuration items that work together to deliver an IT service or a recognizable part of IT service.

**Configuration Item (CI):** Any component that needs to be managed in order to deliver an IT service. Information about each CI is recorded in a Configuration Record within a Configuration Management System and is maintained throughout its lifecycle by Configuration Management.

**Configuration Management:** The process responsible for maintaining information about configuration items required to deliver an IT service, including their relationships.

**Configuration Management Database (CMDB):** A database used to store configuration records throughout their lifecycle.

**Configuration Record:** A record containing the details of a configuration item.

**Critical Incident:** The highest level of impact. A critical incident results in significant disruption to the customer.

**Customer:** Any authorized Portal user as of the date of this Policy.

**Deployment:** The activity responsible for movement of new or changed hardware, software, documentation, process, etc. to the live environment. Deployment is part of the Release and Deployment Management process.

**Development:** The process responsible for creating or modifying an IT service or application. Also used to mean the role or group that carries out development work.

**Diagnostic Script:** A structured set of questions used by Help Desk staff to ensure they ask the correct questions and to help them classify, resolve, and assign incidents. Diagnostic scripts may also be made available to users to help them diagnose and resolve their own incidents.

**Early Life Support (ELS):** Support provided for a new or changed IT service for a period of time after it is released. During the ELS period, the Association may provide additional resources for Incident and Problem Management.

**Effectiveness:** A measure of whether the objects of a process, service or activity have been achieved.

**Escalation:** An activity that obtains additional resources when these are needed to meet service level targets or Customer expectations.

**First-line Support:** The first level in a hierarchy of the support groups involved in the resolution of incidents.

**Functional Escalation:** Transferring an incident, problem or change to a technical team with a higher level of expertise to assist in an Escalation.

**HEAT:** An out-of-the-box service and support call ticket and call logging solution, which enables organizations to streamline employee and customer support interactions.

**HEAT Self Service (HSS):** employees or customers can submit service requests, subscribe to problems, or get status updates over the web.

**HEAT Voice:** allows the delivery of a better customer experience by phone-enabling the service management solution.

**Incident:** An unplanned interruption to an IT Service or a reduction in quality of an IT Service.

**Incident Management:** The process responsible for managing the lifecycle of all incidents.

**Incident Record:** A record containing the details of an incident.

**IT Infrastructure Library (ITIL):** A set of best practice guidance of IT service management. ITIL is owned by the British Office of Government Commerce (OGC) and consists of a series of publications giving guidance on the provisions of quality IT services, and on the processes and facilities needed to support them.

**Known Error:** A problem that has a documented root cause and a workaround. Known errors are created and managed throughout their lifecycle by Problem Management.

**Lifecycle:** The various stages in the life of an IT service, configuration item, incident, problem, change etc. The lifecycle defines the categories for status and the status transitions that are permitted.

**Manual Workaround:** A workaround that requires manual intervention. Manual workaround is also used as the name of a recovery option in which the business process operates without the use of IT services. This is a temporary measure and is usually combined with another recovery option.

**Operation:** Day-to-day management of an IT service, system or other configuration item. Operation is also used to mean any predefined activity or transaction.

**Problem:** A cause of one or more incidents. The cause is not usually known at the time a problem record is created, and the Problem Management process is responsible for further investigation.

**Problem Management:** The process responsible for managing the lifecycle of all problems. The primary objective of problem management is to prevent incidents from happening, and to minimize the impact of incidents that cannot be prevented.

**Problem Record:** A record containing the details of a Problem.

**Process:** A structured set of activities designed to accomplish a specific objective. A process takes one or more defined inputs and turns them into defined outputs. A process may include any of the roles, responsibilities, tools and management controls required to reliably deliver the outputs. A process may define policies, standards, guidelines, activities, and work instructions if they are needed.

**Release:** A collection of hardware, software, documentation, processes or other components required to implement one or more approved changes to IT Services. The contents of each Release are managed, tested and deployed as a single entity.

**Release and Deployment Management:** The process that is responsible for both the policy and planning of building and releasing software. Release Management is a proactive technical support focused on planning, preparation and deployment of services

**Release Management:** The process responsible for planning, scheduling and controlling the movement of releases to test and live environments. The primary objective of Release Management is to ensure that

the integrity of the live environment is protected and that the correct components are released. Release Management is part of the Release and Deployment Management Process.

**Request for Change (RFC):** A formal process for a change to be made. A RFC includes details of the proposed changes, and may be recorded on paper or electronically.

**Rollout:** Synonym for Deployment. Most often used to refer to complex or phased deployments or deployments to multiple locations.

**Second-line Support:** The second level in a hierarchy of support groups involved in the resolution of incidents and investigation of problems.

**Service Desk:** A single point of contact between the service provider and the users. A typical service desk manages incidents and service requests, and also handles communication with the users. The terms “Help Desk” and “Service Desk” are used interchangeably.

**Service Request:** A request from a user for information, advice, a standard change or for access to an IT service.

**Scheduled Incident:** The fourth and lowest level of impact. A scheduled incident is an incident that is being worked based upon an agreed to schedule.

**Standard Incident:** The third level of impact. A standard incident is a routine incident and has no impact to the customers operations.

**Single Point of Contact:** Providing a single consistent way to communicate with an organization or business unit.

**System Management:** The part of the Association that focuses on the management of IT infrastructure rather than process.

**Technical Management:** The function responsible for providing technical skill in support of IT services and management of the IT Infrastructure. Technical Management defines the roles of support groups, as well as the tools, processes and procedures required.

**Technology Assistance Program (TAP):** TAP is a technical support team responsible for supporting customers onsite.

**Test Environment:** A controlled environment used to test configuration items, builds, IT services, processes, etc.

**Third-line Support:** The third level in a hierarchy of support groups involved in the resolution of incidents and investigation of problems.

**Urgent Incident:** The second level of impact. An urgent incident has an impact on one or more users but has a minimal impact to the customer’s operations.

**Version:** A version is used to identify a specific baseline of a configuration item. Versioning typically uses a naming convention that enables the sequence or date of each baseline to be identified. For example Traffic Application Version 3 contains updated functions from Version 2.

**Workaround:** Reducing or eliminating the impact of an incident or problem for which a full resolution is not yet available.