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<p>CUST-DEV2</p> <p>[REMOVED]</p>		

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PROBLEM MANAGEMENT	
DOCUMENT HISTORY	

DOCUMENT HISTORY

Edi.	Rev.	Date	Description	# Pages
00	01	13/08/2010	Submitted for Information	10
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(*) Action: I = Insert R = Replace

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INTRODUCTION	

1 INTRODUCTION

1.1 Scope

1.2 References

RD#	Title	Originator	Version	Date
[RD1]	TEMPO - Glossary of Terms (tmp-gen-gls)	DG TAXUD	2.04-EN	01-Aug-07
[RD2]	Framework Quality Plan	CUST-DEV2	00.01.00	

Table 1-1: Reference documents

1.3 Acronyms and Abbreviations

See Annex 19 for the full list of Acronyms and Abbreviations. These below are the relevant abbreviations for the Problem Management.

ACRONYM OR ABBREVIATION	DEFINITION
DG TAXUD	Directorate General - Taxation and Customs Union
CT	Conformance Test
DDS	Data Dissemination System
FAT	Factory Acceptance Test
FQP	Framework Quality Plan
ITSM	IT Service Management
PSAT	PreSite Acceptance Test
SAT	Site Acceptance Test
RfC	Request for Change
RfD	Request for Diagnosis
RfI	Request for Information

Table 1-2: Acronyms and Abbreviations

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PROBLEM MANAGEMENT	
PROCESS OVERVIEW	

2 PROCESS OVERVIEW

2.1 Process Goal

The goal of Problem Management is to resolve the root cause of incidents and thus to minimise the adverse impact of incidents and problems on business that are caused by errors within the IT infrastructure, and to prevent recurrence of incidents related to these errors. A 'problem' is an unknown underlying cause of one or more incidents, and a 'known error' is a problem that is successfully diagnosed and for which either a work-around or a permanent resolution has been identified.

This process is linked to the Continuous Service Improvement Programme (CSIP) (CUD2-FC-DLV-0.1-1-Annex 15-Quality Management –v1.00-SfA)

2.2 Problem Management Boundaries

CUST-DEV2's role in the Problem Management process is :

- Proactively/Reactively identifying and raising problems (detected by CUST-DEV2);
- Performing analyses of root cause and consequences of problems (detected by CUST-DEV2 and/or DG TAXUD / ITSM);
- Proposing preventive/corrective actions to resolve problems.

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PROBLEM MANAGEMENT	
ROLES AND RESPONSIBILITIES	

3 ROLES AND RESPONSIBILITIES

Roles

ROLE	RESPONSIBILITY
CUST-DEV2 Problem Management team	<p>The CUST-DEV2 Problem Management team is responsible for:</p> <ul style="list-style-type: none"> • Identifying and raising problems; • Analysing root cause and consequences; • Proposing preventive/corrective actions; • Monitoring problems; • Reporting problems and resolutions.

Table 3.1: Roles and Responsibilities.

Note: all roles involved in this process are mapped to the Organisation Chart functions in Annex 07 – Organisation Chart.

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PROBLEM MANAGEMENT	
PROBLEM MANAGEMENT TOOL	

4 PROBLEM MANAGEMENT TOOL

The tool used for Problem Management is the same used for Incident Management: ClearQuest.

Incidents will be linked together using the appropriate reference field in ClearQuest.

The Root Cause Analysis report will be provided and must contain the following sections:

- a concise and descriptive statement that summarizes the facts about the problem;
- an analysis and documentation of the sequence of events that led to, or occurred after, the problem;
- an analysis and documentation of the processes that influenced, or were impacted by, the problem;
- a documentation of the actions required to eliminate or minimize root cause recurrence;
- Each step of the Preventive Action Plan should be discrete to allow the creation of a Change Request or Continuous Improvement Initiative.

The analysis must be fully documented in the record of the Incident ticket referred to as the Problem record. This is called a **Root Cause Analysis**.

If **Subject Matter Experts** are required from different support teams, they will be contacted to provide support to perform the Root Cause Analysis.

This Root Cause must be attached to the Incident ticket that was identified as the Problem record.

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LINKS WITH OTHER PROCESSES	

5 LINKS WITH OTHER PROCESSES

5.1 Change and Configuration Management

The CUST-DEV2 Problem Manager, ITSM Problem Manager and DG TAXUD will need to assess whether the Known Error needs a Change Request to fix the Root Cause of the problem. If the resolution of a problem is different from a workaround and needs to be deployed into production, the Change Management process must be triggered to receive the right approvals from the CAB before implementing the resolution.

5.2 Release Management

The deployment of the fix will be attributed to a Release following the Release Management process.

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6 PROBLEM MANAGEMENT

6.1 Trigger Event

Problem Management is initiated by the Incident Management process (see Annex 13 to the FQP [RD2]) or by pro-active management of problems.

6.2 Procedure Input

The input for the Problem Management process includes:

- Incident details from Incident Management;
- Configuration details from the Configuration Management Database (CMDB);
- Any defined workaround.

6.3 Process Tool

The interfaces and tool used for Problem Management are the same as for Incident Management. Problems are linked Incidents records in ClearQuest and the Root Cause Analysis details will be added on to the Main Incident Ticket used as the reference for the problem record.

6.4 Procedure Flow

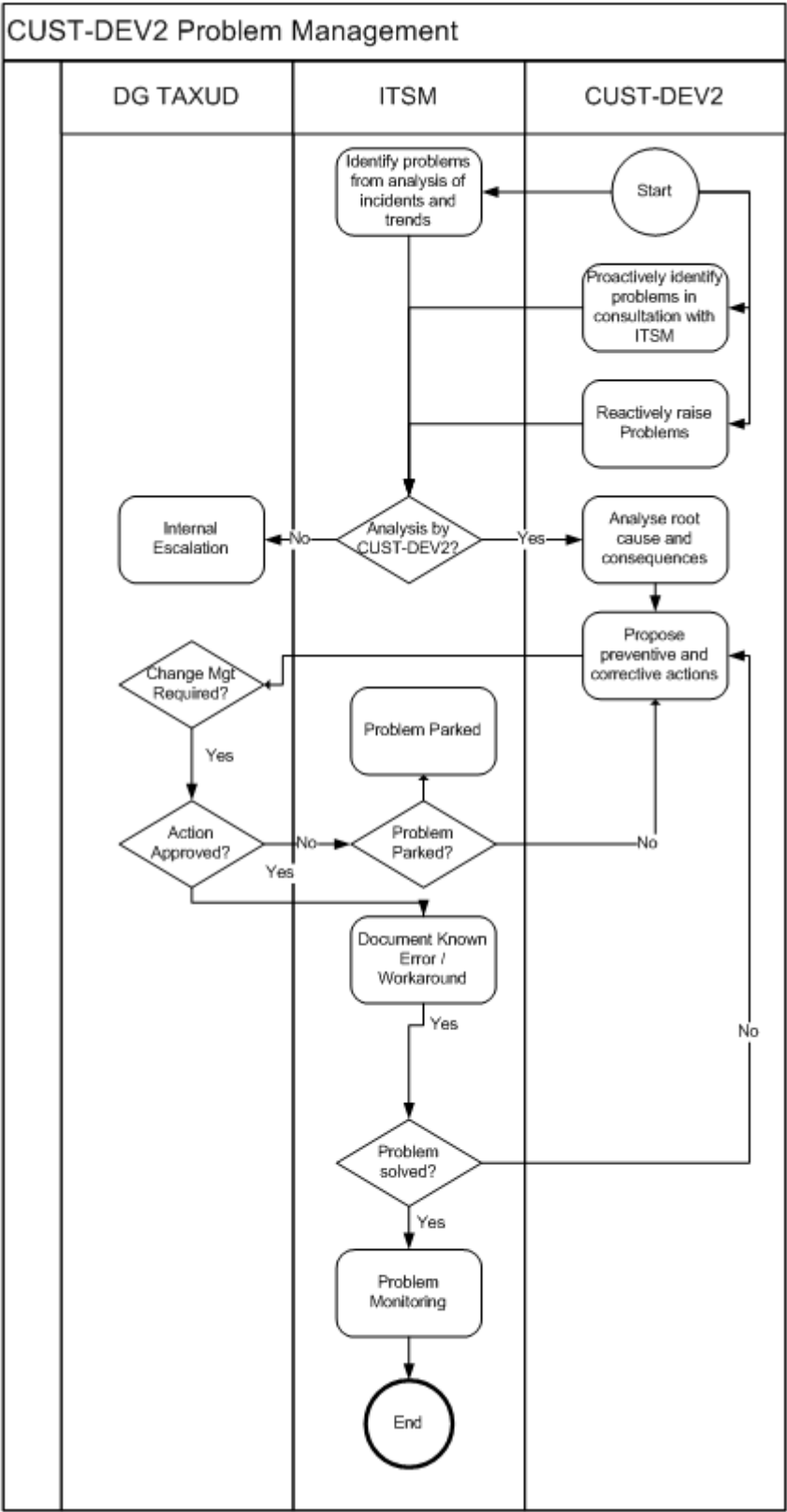


Figure 6.1 – CUST-DEV2 Problem Management Flow

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PROBLEM MANAGEMENT	

6.5 The Procedure

Business Process	Problem Management
Scope	CUST-DEV2 Framework Contract TAXUD/2010/CC/100

Step	Problem Management
1.	Proactively identify problems in consultation with ITSM
<i>Input</i>	Information collected from Incident Management (Incident records) Configuration Items (see Annex 02 to the FQP [RD2] for more information)
<i>Description</i>	<p>Proactively identify and raise problems, within CUST-DEV2 and / or in consultation with ITSM contractor.</p> <p>Proactive Monitoring of Incidents will allow for detecting potential problems (analysing recurring incidents, trends, linking similar incidents). This will be done within the CUST-DEV2 scope but also in consultation with ITSM.</p> <p>ITSM will be communicated the potential problems that have been detected during proactive monitoring.</p> <p>In addition, ITSM can consult with CUST-DEV2 for potential problems within CUST-DEV2's area of expertise. This step helps to identify problems that might otherwise be missed and prevents impacts on the business by avoiding occurrences of Incidents and Problems caused by errors in the production environment. Proactive Problem Management analyses Incident records to:</p> <ul style="list-style-type: none"> ○ <u>Look for trends</u>, by analysing Incidents over differing time periods, in order to identify significant underlying problems. The proactive detection of trends will minimise Incident occurrences; ○ <u>Regularly check Configuration Items (CIs)</u>; ○ <u>Provide information</u> to the Problem Manager (ITSM) in order to take the necessary actions to avoid the problem from arising.
<i>Output</i>	Identified and raised problems

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PROBLEM MANAGEMENT	

2.	Reactively raise Problems
<i>Input</i>	<p>A recurring incident;</p> <p>A major Incident (an incident that results in significant disruption for the Business);</p> <p>The list of top 10 Incidents of the month provided on a monthly basis by the Service Desk (ITSM), which must contain a maximum of information to decide if a problem should be opened. This list is discussed in Bilateral Monthly Meeting (BMM).</p>
<i>Description</i>	Problems and Known Errors can be identified by analysing Incidents as they occur (reactive Problem Management).
<i>Output</i>	Identified and raised problems
3.	Analyse root cause and consequences
<i>Input</i>	ITSM will provide CUST-DEV2 will all required and available information regarding a problem.
<i>Description</i>	<p>In case ITSM requires support, CUST-DEV2 provides support to analyse problems. CUST-DEV2 will perform an analysis of the root cause and the consequences of a problem.</p> <p>If the investigation is not to be performed by CUST-DEV2, ITSM will trigger their internal escalation procedure.</p>
<i>Output</i>	CUST-DEV2 will provide ITSM with a root cause analysis report.
4.	Propose preventive and corrective actions
<i>Input</i>	Problem (root cause) analysis report
<i>Description</i>	<p>CUST-DEV2 will propose preventive/corrective actions for resolving the problem to ITSM. If these actions require the Change Advisory Board to be convened, the Change Management process will be kicked off. This decision is made by DG TAXUD when the solution suggested to ITSM is communicated by CUST-DEV2. If the action is not approved, this step will need to be repeated.</p> <p>Once the action is approved, the Known Errors database will need to be updated by ITSM as per their internal process.</p> <p>If CUST-DEV2's suggested action for resolution is not approved, or if investigations of a problem are unsuccessful, the ITSM Problem Manager will offer to park the problem for future reference during the monthly Problems & Errors review.</p>
<i>Output</i>	<p>Proposed preventive/corrective actions</p> <p>Documentation for the Known Errors database</p>

Table 6.1: Problem Management description.