

|  |   |                                |
|--|---|--------------------------------|
| <b>OWNER:</b><br><b>DG TAXUD</b>   | <b>ISSUE DATE:</b><br><b>22/03/2010</b> | <b>VERSION:</b><br><b>1.04</b> |
| <p><b>TAXATION AND CUSTOMS UNION DG</b></p> <p><b>ITSM</b></p> <p><b>SUBJECT:</b></p> <p><b>FQP - Annex 13: Problem Management</b></p> |   |                                |
| <b>FRAMEWORK CONTRACT # TAXUD/2007/CC/088</b>  |   |                                |

|                                    |                        |
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| FQP - Annex 13: Problem Management | VER.: 1.04             |
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## Document History

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| 0    | 03   | 08/10/2007 | Further implementation  | I/R        | As req. |
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| 1    | 01   | 28/11/2008 | Re-delivered for acceptance to DG TAXUD after implementation of remaining comments                                | I/R        | As req. |
| 1    | 01-2 | 06/10/2009 | First evolutive version   | I/R        | As req. |
| 1    | 01-3 | 21/10/2009 | Further updates   | I/R        | As req. |
| 1    | 01-4 | 12/11/2009 | Further updates   | I/R        | As req. |
| 1    | 01-5 | 23/11/2009 | Further updates   | I/R        | As req. |
| 1    | 01-6 | 02/12/2009 | Further updates   | I/R        | As req. |
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| 1 | 03 | 05/02/2010 | Re-delivered for review to DG TAXUD after internal QC | I/R | As req. |
| 1 | 04 | 22/03/2010 | Delivered for acceptance to DG TAXUD                  | I/R | As req. |

(\*) Action: I = Insert R = Replace

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| <b>1 - Introduction</b>                   | <b>ISSUE DATE: 22/03/2010</b> |

## **1. Introduction**

This document is an annex to the Framework Quality Plan, deliverable DLV 0.1.1 requested in Specific Contract 04 [A2] under Framework Contract (IT Service Management for DG Taxation and Customs Union) [A1], Work Package WP.0.1.

This document presents the Level 1, 2 and 3 of the ITSM process FQP - Annex 13: Problem Management.

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| <b>2 - Reference and Applicable Documents</b> | <b>ISSUE DATE: 22/03/2010</b> |

## 2. Reference and Applicable Documents

This chapter presents two lists of relevant programme related documents. They are divided into reference and applicable documents.

### 2.1 Reference Documents

| <b>Id</b> | <b>Reference</b>                     | <b>Title</b>           | <b>Date</b> | <b>Version</b> |
|-----------|--------------------------------------|------------------------|-------------|----------------|
| R1        | ITS-IFQP-SC04-Framework Quality Plan | Framework Quality Plan | 22/03/2010  | 1.04           |
| R2        | ITS-IFQP-SC04-Annex 9                | ITSM Glossary          | 22/03/2010  | 1.13           |

Table 1 – Reference documents

### 2.2 Applicable Documents

An applicable document is a document which content is binding for a contractor no matter what is mentioned in this FQP.

| <b>Id</b> | <b>Reference</b>  | <b>Title</b>                    | <b>Date</b> | <b>Version</b> |
|-----------|-------------------|---------------------------------|-------------|----------------|
| A1        | TAXUD/2007/CC/088 | Framework Contract              | 04/05/2007  | N/A            |
| A2        | TAXUD/2008/DE/114 | Specific Contract 04            | 30/06/2008  | N/A            |
| A3        | QAC-SC01-FQP_TEM  | Framework Quality Plan Template | N/A         | 1.01           |

Table 2 – Applicable documents

|                                    |                        |
|------------------------------------|------------------------|
| ITSM                               | REF.: ITS-IFQP-SC04    |
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| 3 - Terminology                    | ISSUE DATE: 22/03/2010 |

### 3. Terminology

#### 3.1 Abbreviations and Acronyms

A list of the abbreviations and acronyms used in the context of the ITSM Programme, and more specifically for this document is provided in Annex 9 ITSM Glossary [R2].

#### 3.2 Interface with DG TAXUD

Where there is a non-specific reference to DG TAXUD, Directorate Generale Taxation and Customs Union DG or other similar descriptions, it means that the interface can be with any one of the following business threads of DG TAXUD:

- DG TAXUD A4/CPT;
- DG TAXUD A4/ISD;
- DG TAXUD A4/APM;
- DG TAXUD A3/Tax;
- DG TAXUD A3/Exc;
- DG TAXUD A3/CUST;
- DG TAXUD A3/LISO.

Where it is intended that a reference is to a specific business thread, one of the business threads above shall be stated.



|                                    |                        |
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## 4. ITSM Process model

### 4.1 Level 0: Process flows

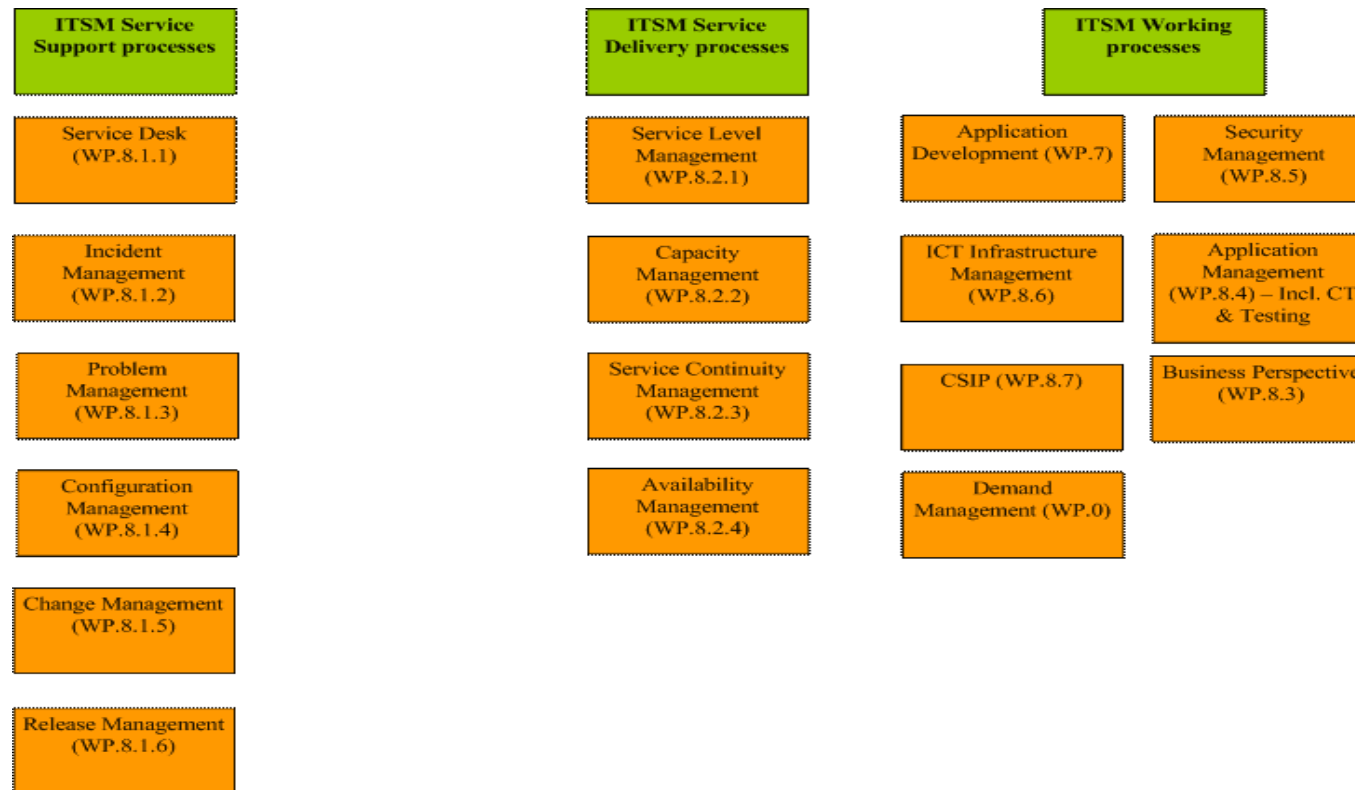


Figure 4-1: ITSM Process Model

|                                    |                        |
|------------------------------------|------------------------|
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## 4.2 Level 1: Problem Management

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.

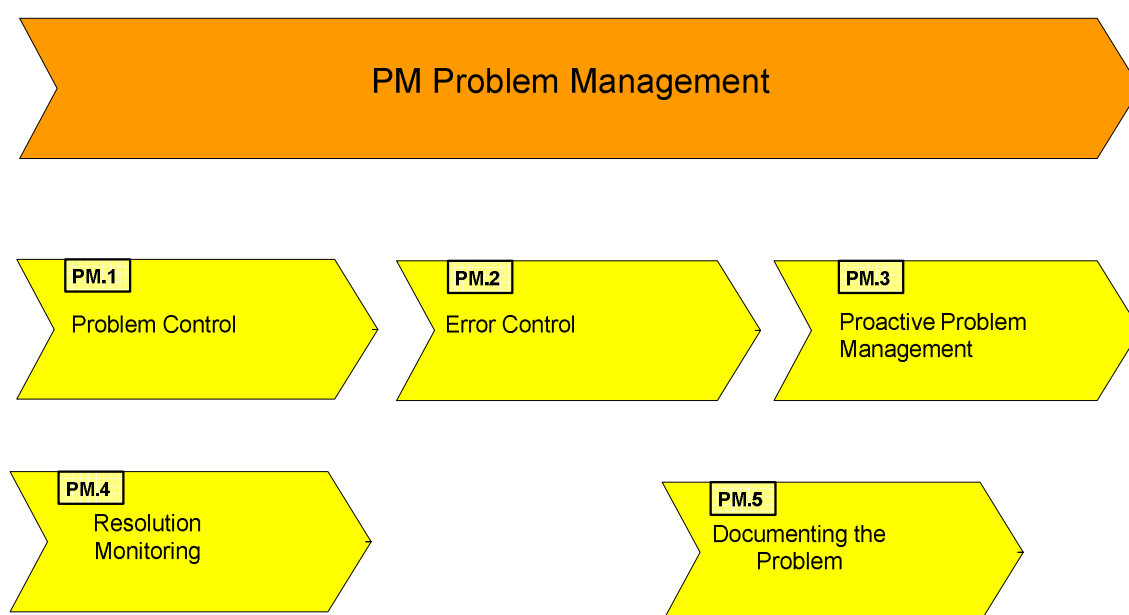


Figure 4-2: PM Problem Management sub-processes

|                                    |                        |
|------------------------------------|------------------------|
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## 4.3 Level 2: Problem Management

### PM.1 Problem Control

The purpose of problem control is to identify problems within an IT environment and to record information about those problems. Problem control identifies the configuration items at the root of a problem and provides the service desk with information on workarounds.

#### PM.1 Problem Control

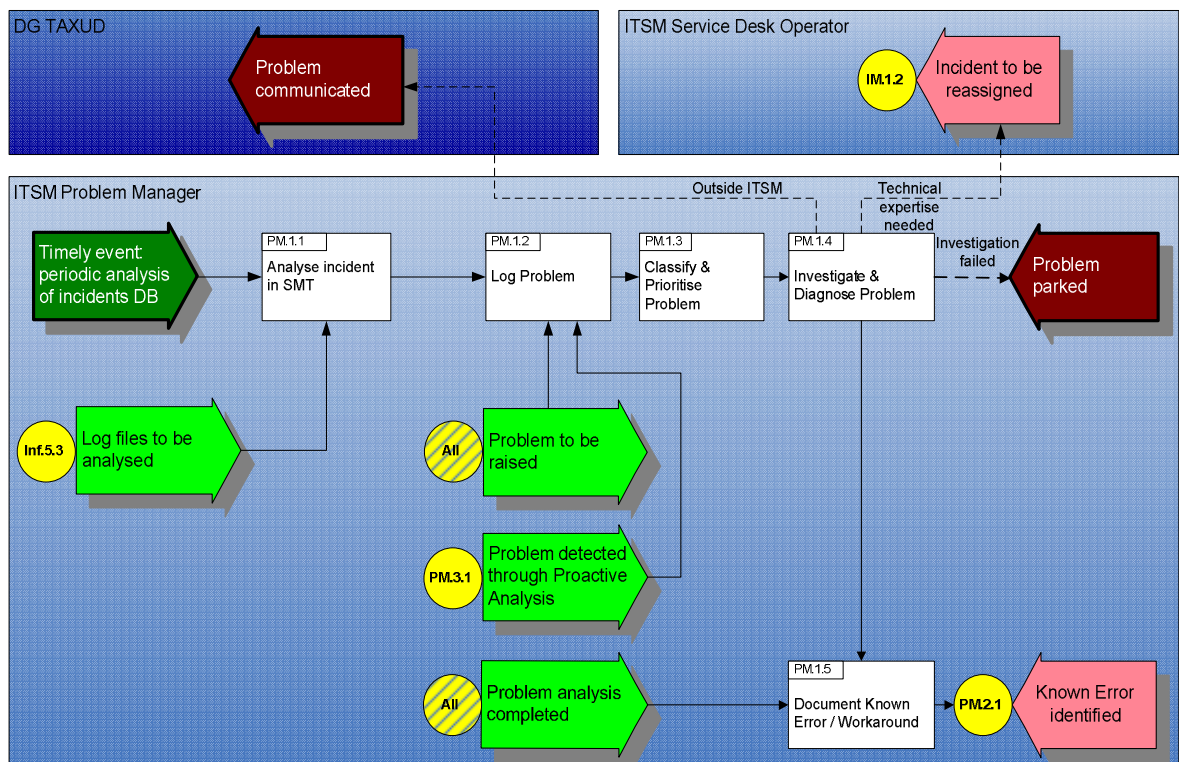


Figure 4-3: PM.1 Problem Control

|                                    |                        |
|------------------------------------|------------------------|
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## PM.2 Error Control

The purpose of error control is to keep track of known errors and to determine the resource effort needed to resolve the known error. Error control monitors and removes known errors when it's feasible and worthwhile.

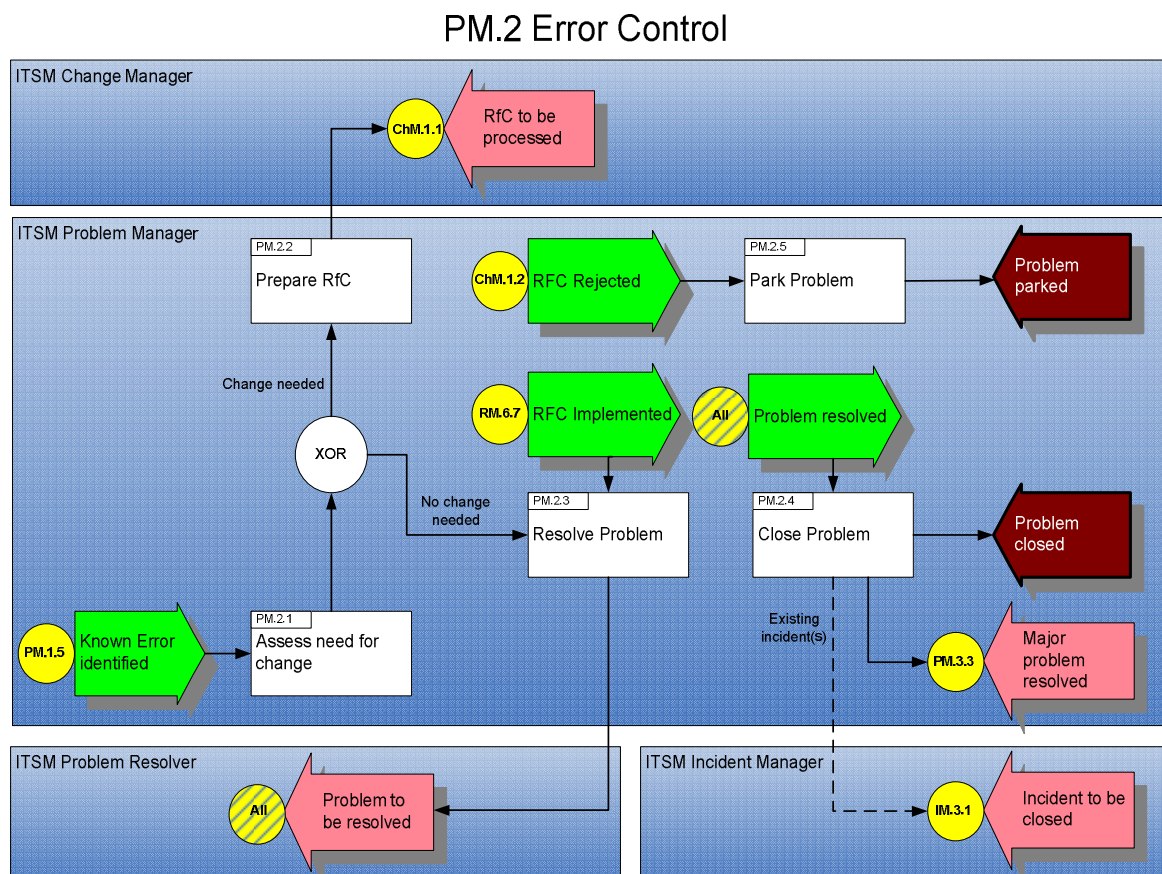


Figure 4-4: PM.2 Error Control

|                                    |                        |
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### PM.3 Proactive Problem Management

The purpose of proactive problem management is to find potential problems and errors in an IT infrastructure before they cause incidents. Stopping incidents before they occur provides improved service to users.

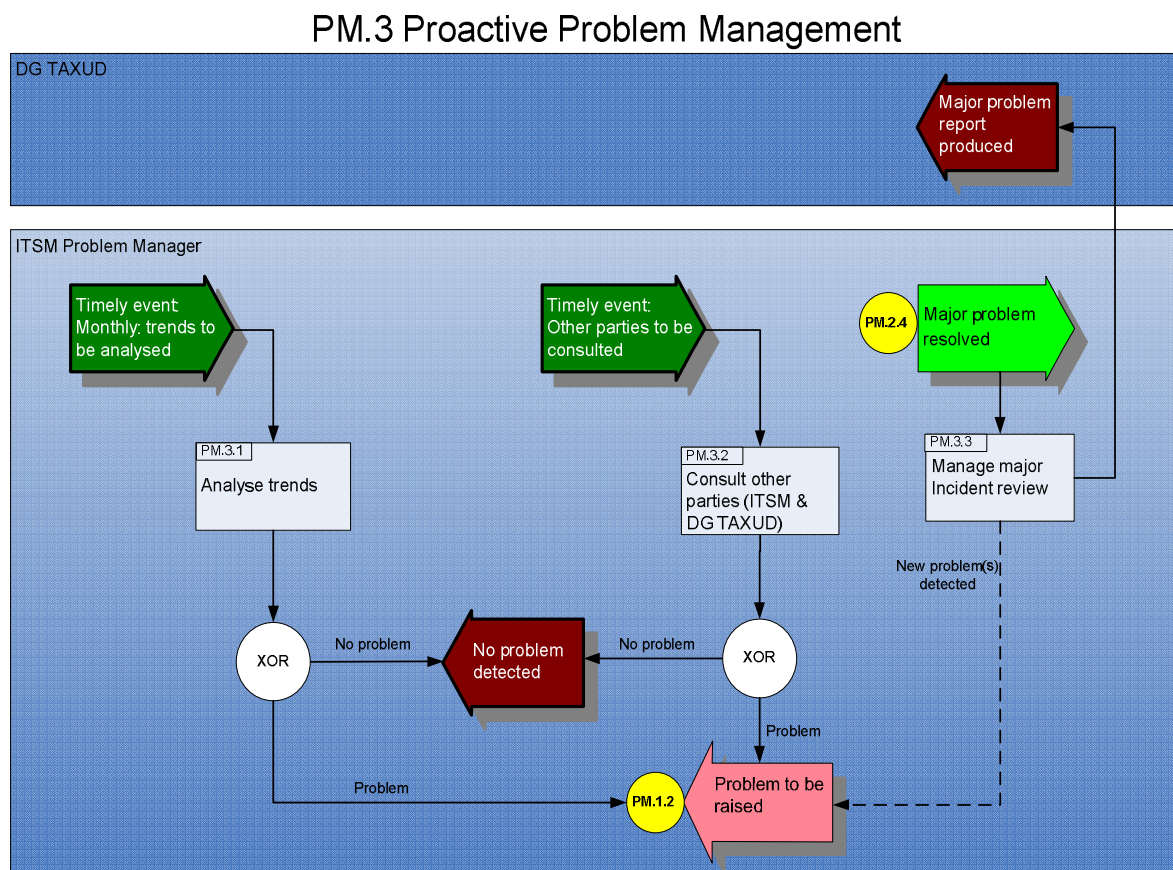


Figure 4-5: PM.3 Proactive Problem Management

|                                    |                        |
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### *PM.4 Resolution Monitoring*

Changes are planned and implemented by other IT service management processes. Problem management monitors the effect of problems on service provided to users and the progress of requested changes until they are complete.

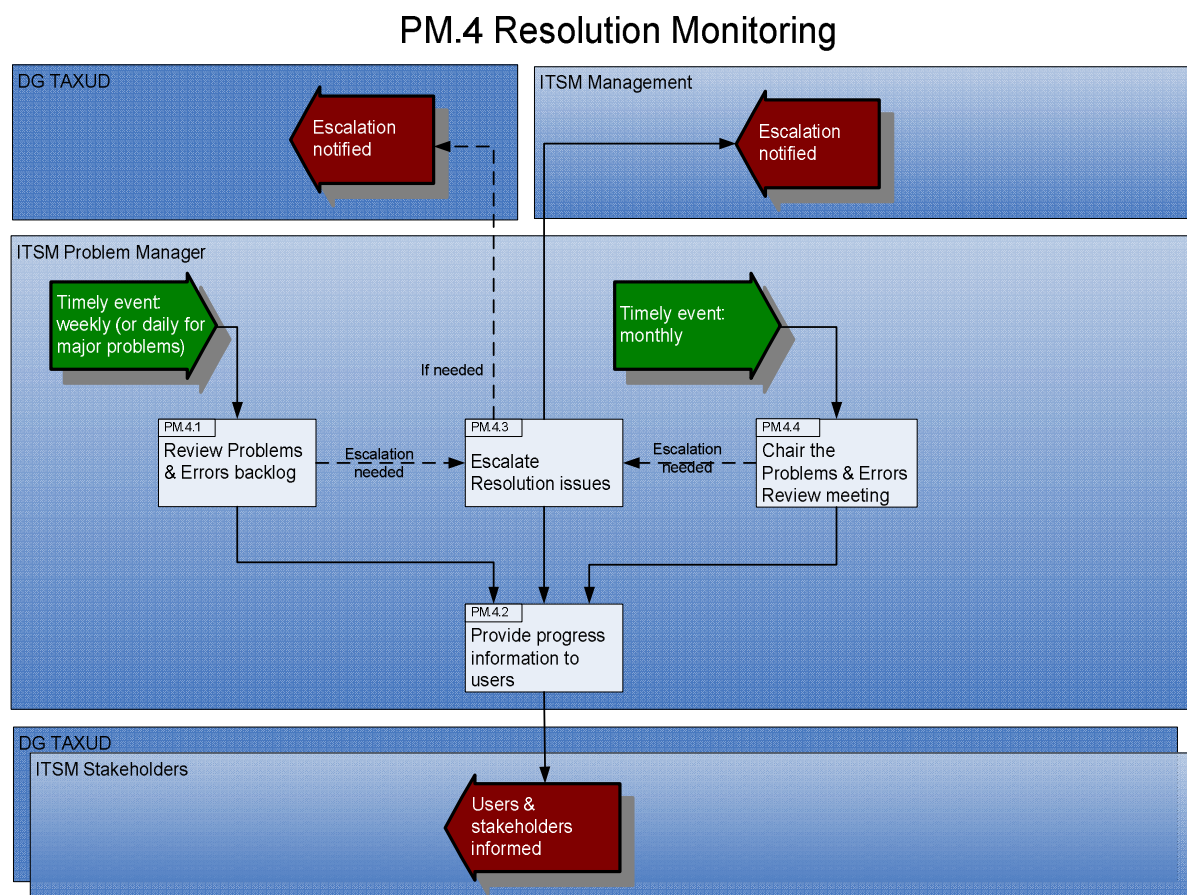


Figure 4-6: PM.4 Resolution Monitoring

|                                    |                        |
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## *PM5 Documenting the problem*

### PM.5 Documenting the Problem

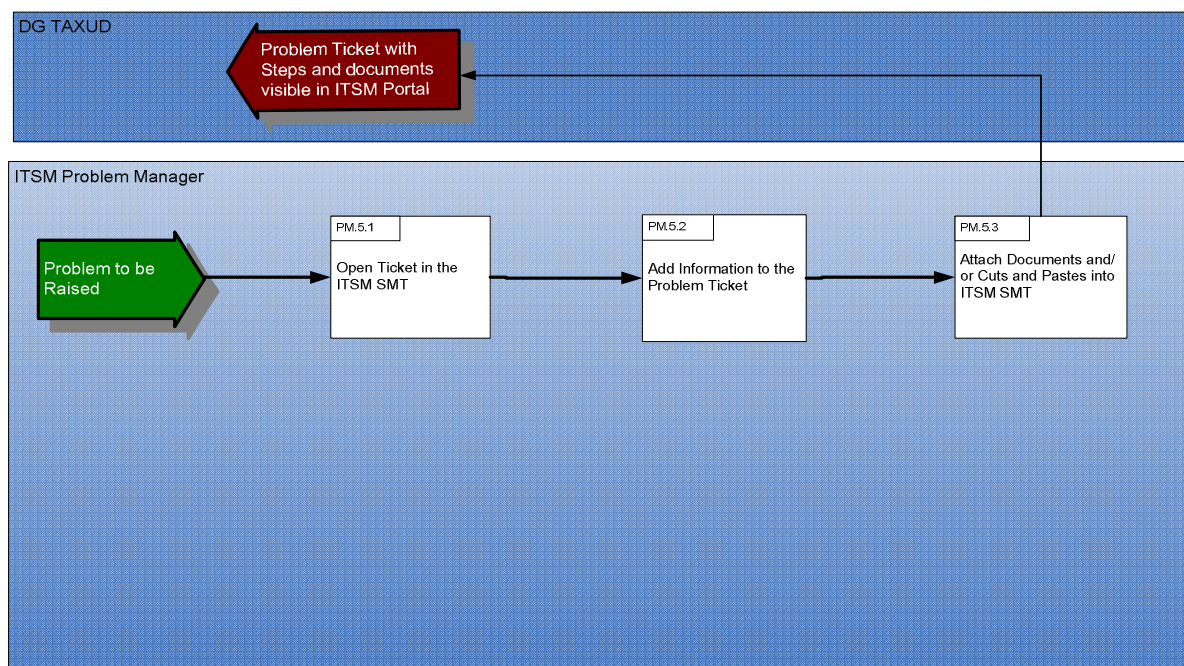


Figure 4-7: PM.5 Documenting the Problem

Note: As no tool currently exists to capture KEL info and link it to problems, no process link between problems and KELs is possible.

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## RACI Table for PM

| Activity  | ITSM Problem Manager | ITSM Service Desk | ITSM Incident Manager | ITSM Change Manager | ITSM Problem resolver | ITSM Management | Other ITSM parties | DG TAXUD A4/CPT | DG TAXUD A4/ISD | DG TAXUD A4/APM | DG TAXUD A3/Tax | DG TAXUD A3/Exc | DG TAXUD A3/Cust | DG TAXUD A3/LISO | 3rd parties (Dev,DIGITCCN,NAs ...) |
|---|----------------------|-------------------|-----------------------|---------------------|-----------------------|-----------------|--------------------|-----------------|-----------------|-----------------|-----------------|-----------------|------------------|------------------|------------------------------------|
| PM.1.1 Analyse Incident in SMT                    | AR                   |                   |                       |                     |                       |                 |                    |                 |                 |                 |                 |                 |                  |                  |                                    |
| PM.1.2 Log problem                                | AR                   |                   |                       |                     |                       |                 |                    |                 |                 |                 |                 |                 |                  |                  |                                    |
| PM.1.3 Classify and prioritise problem            | AR                   |                   |                       |                     |                       |                 |                    |                 |                 |                 |                 |                 |                  |                  |                                    |
| PM.1.4 Investigate and diagnose problem           | AR                   | I                 |                       |                     |                       |                 |                    | I               | CI              | CI              | CI              | CI              | CI               | CI               | CI                                 |
| PM.1.5 Document Know Error / workaround           | AR                   | I                 |                       |                     |                       |                 |                    |                 | CI              | CI              | CI              | CI              | CI               | CI               | CI                                 |
| PM.2.1 Assess need for change                     | AR                   |                   |                       | C                   |                       |                 |                    |                 | CI              | CI              | CI              | CI              | CI               | CI               | CI                                 |
| PM.2.2 Prepare RfC                                | AR                   |                   |                       | I                   |                       |                 |                    |                 |                 |                 |                 |                 |                  |                  |                                    |
| PM.2.3 Resolve Problem                            | AR                   |                   |                       |                     | I                     |                 |                    |                 | CI              | CI              | CI              | CI              | CI               | CI               | CI                                 |
| PM.2.4 Close Problem                              | AR                   | I                 | I                     |                     |                       |                 |                    | CI              | CI              | CI              | CI              | CI              | CI               | CI               | CI                                 |
| PM.2.5 Park Problem                               | AR                   |                   |                       |                     |                       |                 |                    |                 | CI              | CI              | CI              | CI              | CI               | CI               | CI                                 |
| PM.3.1 Analyse trends                             | AR                   |                   |                       |                     |                       |                 |                    |                 | C               | C               | C               | C               | C                | C                | C                                  |
| PM.3.2 Consult other parties (ITSM & DG TAXUD)    | AR                   | C                 | C                     | C                   |                       |                 | C                  | I               | C               | C               | C               | C               | C                | C                | C                                  |
| PM.3.3 Manage major Incident review               | AR                   | I                 |                       |                     |                       |                 | I                  | I               | CI              | I               | I               | I               | I                | I                | I                                  |
| PM.4.1 Review problems & errors backlogs          | AR                   |                   |                       |                     | C                     |                 |                    | I               | CI              | I               | I               | I               | I                | I                | I                                  |
| PM.4.2 Provide progress information to users      | AR                   | I                 |                       |                     |                       |                 | I                  | I               | CI              | I               | I               | I               | I                | I                | I                                  |
| PM.4.3 Escalate Resolution issues                 | AR                   |                   |                       |                     |                       | I               |                    | CI              | CI              | CI              | CI              | CI              | CI               | CI               | CI                                 |
| PM.4.4 Chair the problems & errors review meeting | AR                   |                   |                       |                     | C                     |                 |                    | I               | I               | I               | I               | I               | I                | I                | I                                  |
| PM.5.1 Opening Ticket in SMT                      | AR                   |                   | I                     |                     |                       |                 |                    | I               | CI              | I               | I               | I               | I                | I                | I                                  |
| PM.5.2 Adding Information to Problem Ticket       | AR                   |                   | I                     |                     |                       |                 |                    | I               | CI              | CI              | CI              | CI              | CI               | CI               | CI                                 |

Table 4-1: PM RACI Table



|                                    |                        |
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## Communication interfaces with DG TAXUD

| Interface description communication with DG TAXUD    | Direction | Format                                |
|--|-----------|---------------------------------------|
| <b>PM.1 Problem Control</b>                          |           |                                       |
| Problem raised by DG TAXUD                           | Incoming  | Mail                                  |
| Problem with DG TAXUD controlled party notification  | Outgoing  | Mail                                  |
| Known errors   | Outgoing  | Updated on ITSM<br>Collaborative tool |
| <b>PM.2 Error Control</b>                            |           |                                       |
| <b>PM.3 Proactive Problem Management</b>             |           |                                       |
| Major Problem report                                 | Outgoing  | Mail                                  |
| Answer to consultation about potential problems      | Incoming  | Mail                                  |
| <b>PM.4 Resolution Monitoring</b>                    |           |                                       |
| Escalation   | Outgoing  | Mail                                  |
| Minutes of the Problems and errors review meeting    | Outgoing  | Mail                                  |
| Progress information on problems & errors resolution | Outgoing  | Mail                                  |
| <b>PM.5 Documenting Problem Management</b>           |           |                                       |
| Opening Ticket in SMT                                | Outgoing  | Updated on ITSM<br>Collaborative tool |
| Adding Information to the Problem Ticket             | Outgoing  | Updated on ITSM<br>Collaborative tool |

Table 4-2: PM Communication interfaces with DG TAXUD

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## 4.4 Level 3: Problem Management

|  |   |
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| Procedure  |   |
|  | <p><b><u>PM.1 Problem Control</u></b></p> <p>The goal of the problem control sub-process is to manage problems from detection to diagnosis and workaround, effectively transforming it in a Known Error.</p>  |
| <div>PM.1.1</div> <div>Analyse incident in SMT</div> | <p><b>PM.1.1 Analyse incident in SMT</b></p> <p>The ITSM Problem Manager does once a month an analysis of the incidents in the SMT to detect new potential problems.</p> <p>Ideally all incidents are reviewed (but this may not be possible right from the start of the process), the following guidelines will be followed:</p> <p>Incidents that will not be examined are:</p> <ul style="list-style-type: none"> <li>• Incidents linked to known errors (feedback from X/DEV);</li> <li>• Service Requests (if tracked as incidents in the SMT).</li> </ul> <p>For the rest, the ITSM Problem Manager will analyse in priority:</p> <ul style="list-style-type: none"> <li>• Series of similar incidents;</li> <li>• Incidents that have no identified cause.</li> </ul> <p>The ITSM Problem Manager will then decide to create a problem record or not for these incidents. A phone conference call between ITSM PM, DG TAXUD A4/ISD and the CI-owner(s) on request will be organised a every 2 weeks, depending on the volumes, to review the problem list. After common agreement with DG TAXUD A4/ISD during this every 2 weeks conference call, all problems will be either registered in the ITSM SMT.</p> <p>The ITSM Problem Manager marks the incidents reviewed with the following values:</p> <ul style="list-style-type: none"> <li>• Linked to a problem (existing or new);</li> <li>• Not linked to a problem;</li> <li>• To be re-evaluated later.</li> </ul> <p>The list will be made visible to DG TAXUD A4/ISD and DG TAXUD A4/CPT on the new ITSM portal.</p> <p>Incidents not yet reviewed by the ITSM Problem Manager should be marked as “not yet reviewed by PM”. This is not possible in the current SMT.</p> <p>So at any time, an incident in the SMT can have one of these</p> |

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|  |  |
|--|--|
|  | <p>statuses problem-wise:</p> <ul style="list-style-type: none"> <li>• Linked to a problem (existing or new);</li> <li>• Not linked to a problem;</li> <li>• To be re-evaluated later (considered as non urgent by the PM);</li> </ul> <p>The status is updated in the SMT by the ITSM Problem Manager. This information is available to DG TAXUD.</p>   |
| <div>PM.1.2</div> <div>Log Problem</div>                       | <p><b>PM.1.2 Log Problem</b></p> <p>Problems are triggered by various means:</p> <ul style="list-style-type: none"> <li>• Incidents analysis (see previous PM.1.1);</li> <li>• Proactive analysis (see PM.3.1);</li> <li>• A standalone issue (e.g. Procedure problem);</li> <li>• E-mails/calls received by the PM requesting to open new problems.</li> </ul> <p>Problems are always linked to incident through field:</p> <p><b>Name:</b> &lt;&lt; BTH&gt;&gt;// PROBL N° : PROBL label //.</p>   |
| <div>PM.1.3</div> <div>Classify &amp; Prioritise Problem</div> | <p><b>PM.1.3 Classify &amp; Prioritise Problem</b></p> <p>The problems are analysed by the ITSM Problem Manager, who defines in conjunction with DG TAXUD and the CI-owner the initial classification and priority for each of them (the priority is based on urgency and impact, as in the IM process).</p> <p>The priority is computed from urgency and an impact value as per the incident process.</p> <p><b>Impact:</b> it is affected by the following conditions:</p> <ul style="list-style-type: none"> <li>• Number of users affected by the problem;</li> <li>• The image of DG TAXUD or other European institutions could be affected;</li> <li>• Major functions of the applications are unavailable or do not work as specified;</li> <li>• An application function needed by end users to carry out urgent work is not available or does not work as specified, blocking users to perform their task;</li> <li>• Corrupted data transmission;</li> <li>• Confidential information could be divulged: information that, if divulged, could affect the interest of EU or its civil servants;</li> <li>• The Commission, other European institutions or 3<sup>rd</sup> parties</li> </ul> |

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|   | <p>could suffer financial prejudice;</p> <ul style="list-style-type: none"> <li>• The Commission or other EU institutions could take wrong orientation or strategic decisions based on incorrect information provided by the applications.</li> </ul> <p><b>Urgency:</b> it depends on the following parameters:</p> <ul style="list-style-type: none"> <li>• The level of service lost due to the problem;</li> <li>• A workaround exists or not.</li> </ul> <p><b>Priority:</b> Low (P4), Medium (P3), High (P2), Critical (P1) in accordance to the incidents priorities.</p> <p>For Problems derived from incidents the rule will be:</p> <p>Problem Priority = Mean Incidents Priority (– 1 level if a Workaround exists).</p> <p><b>Problem category definition:</b></p> <p>To facilitate analysis, the categories used are the same as for incidents. The priority of the problem linked to more than one incident is the highest priority of these incidents.</p> <p>Please refer to the Incident Management process.</p>               |
| <div>PM.1.4</div> <div>Investigate &amp; Diagnose Problem</div> | <p><b>PM.1.4 Investigate &amp; Diagnose Problem</b></p> <p>For each problem, the ITSM Problem Manager assigns the person who will be responsible for the diagnosis of the problem, this person can be:</p> <ul style="list-style-type: none"> <li>• A problem investigator ('generic term');</li> <li>• A member of the ITSM Infrastructure Management team (e.g. database performance problem);</li> <li>• A member of the ITSM Application Management team (e.g. anomalous amount of transaction on an application);</li> <li>• A person from DG TAXUD if the party involved is a contractor (DIGIT, CCN/TC, Dev-teams...);</li> <li>• The ITSM Problem Manager himself/herself for certain categories of problems (high priority, multi-team analysis, procedures, quality...).</li> </ul> <p>This information is given to DG TAXUD during the (bi-) weekly conference call.</p> <p>The ITSM Problem Manager retains the responsibility to monitor the progress accomplished on the investigations deferred to other parties (see PM.4).</p> |

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|   | <p>The investigation of a problem may be unsuccessful in this case the ITSM Problem Manager will offer, in conjunction with DG TAXUD and the CI-owner to set the status to “wait for sol” of the problem for future reference during the monthly Problems &amp; Errors review (see PM 4.4).</p>  |
| <div>PM.1.5</div> <div>Document Known Errors/Workaround</div> | <p><b>PM.1.5 Document Known Errors/Workaround</b></p> <p>When a workaround is found and/or when the error is fully understood (workaround + way to fix the problem), the ITSM Problem Manager documents the KEL list in new ITSM Portal tool (not yet in production) with the relevant information (root cause of the problem, workaround to be followed until the error is fixed, what needs to be done to fix definitively the problem). He/she then informs the Service Desk of the information being published on the portal for this new Known Error.</p>   |
|   | <p><b><u>PM.2 Error Control</u></b></p> <p>The Error Control process starts with a Known Error and ends when the faulty Configuration Item (being hardware, software, documentation...) is fixed in production.</p>  |
| <div>PM.2.1</div> <div>Assess need for change</div>           | <p><b>PM.2.1 Assess need for change</b></p> <p>The ITSM Problem Manager assesses, in conjunction with DG TAXUD and the CI-owner, whether the Known Error needs a Change Request to fix the root cause of the problem. There are no ‘formal’ criteria defined.</p> <p>For items not under the responsibility of ITSM, like CCN/TC applications and infrastructure, the ITSM Problem Manager, in conjunction with DG TAXUD and the CI-owner, then decides if the Change Management process needs to be invoked or not.</p>   |
| <div>PM.2.2</div> <div>Prepare RfC</div>                      | <p><b>PM.2.2 Prepare RfC</b></p> <p>When an error has been fully documented and when one or more proposal(s) for resolution has been defined for the error, the ITSM Problem Manager or the CI-owner raises an RfC to have the error fixed.</p> <p>This is done through an e-mail sent by the ITSM Problem Manager or the CI-owner to the ITSM Change Manager. The Problem Manager has to make sure the CI owner affected by the change (identifiable via the CMDB) raises an RfC. Follow-up will be done via Change Management.</p> <p>If the problem is serious and urgent an Emergency RfC is raised instead according to the Emergency Change procedure. This is typically done via a phone call from the ITSM Problem Manager to the ITSM Change Manager. The CI owner raises an RfC or the ITSM Problem Manager does it.</p> <p>All RfC will be logged in the SMT and will be linked to the problem.</p> |

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| <div>PM.2.3</div> <div>Resolve Problem</div> | <p><b>PM.2.3 Resolve Problem</b></p> <p>The Problem Manager is responsible of having the CI owner affected by the problem to follow-up on the solution implementation of the problem, either by monitoring the progress of the RfC or via a Work Order to the relevant party (ITSM Problem Resolver).</p> <p>In all cases, the ITSM Problem Manager is responsible to make sure that the resolution implemented really solves the problem. The ITSM Problem Manager contacts the CI owner and checks whether the change was successful or not before closing the problem; if not solved, go to ChM 1.4 for "RfC to be reassessed".</p>   |
| <div>PM.2.4</div> <div>Close Problem</div>   | <p><b>PM.2.4 Close Problem</b></p> <p>When the resolution of the problem is confirmed, the ITSM Problem Manager closes the problem record in the SMT, makes sure that Service calls are also closed and archives all the relevant and supporting documentation (PIR).</p> <p>The KEL is updated in the SMT.</p> <p>If the Problem was major, a major Problem review is triggered (see PM 3.3 for more details).</p>  |
| <div>PM.2.5</div> <div>Park Problem</div>    | <p><b>PM.2.5 Park Problem</b></p> <p>If an RfC created to solve a problem is rejected (this can be for a number of reasons: risk, priority conflicts...), the ITSM Problem Manager parks the Problem by setting the status to 'Wait for Solution' for future reference and documents the decision in the SMT.</p>  |
| <div>PM.3.1</div> <div>Analyse trends</div>  | <p><b><u>PM.3 Proactive Problem Management</u></b></p> <p><b>PM.3.1 Analyse trends</b></p> <p>Upon input from and in conjunction with the ITSM Incident Manager the ITSM Problem Manager conducts On a monthly basis a trend analysis by running ad hoc queries on the SMT. Domains to be proactively investigated along with their priority are currently being established; this information along with the trend analysis is used during the 2-weekly meeting with DG TAXUD to confirm problems priority. This trend analysis examines the evolution over time of a number of things:</p> <ul style="list-style-type: none"> <li>• Incidents per category;</li> <li>• Problems per category;</li> <li>• CI failures.</li> </ul> <p>This analysis will enable the ITSM Problem Manager, in conjunction with DG TAXUD and the CI-owner, to detect potential problems needing investigation.</p> |

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| <div data-bbox="268 241 496 371"> <div>PM.3.2</div> <div>Consultation with Business Threads of DG TAXUD)</div> </div> | <p><b>PM.3.2 Consultation with Business Threads of DG TAXUD</b></p> <p>Monthly, on a rotational basis, the ITSM Problem Manager invites a different Business Thread from DG TAXUD by e-mail in order to discuss any potential problems that they have identified in their area. The meetings are held together with a representative of DG TAXUD A4/ISD.</p> <p>An additional goal of these consultations is to get feedback from the Business Threads on their perceived efficacy of Problem Management activities and to address any comments or take on board any ideas from them.</p> <p>Minutes are taken of the meetings and are subject to formal review by the participants and uploaded onto CIRCA</p> <p>The results of these meetings are then used by the ITSM Problem Manager as part of the proactive Problem Management to identify potential new problems as well as for reactive Problem Management if specific issues are raised.</p> |
| <div data-bbox="268 972 496 1102"> <div>PM.3.3</div> <div>Manage major Incident review</div> </div>                   | <p><b>PM.3.3 Manage major Incident review</b></p> <p>After a Major Problem (i.e. Priority = Critical) is closed and while memories are still fresh, the ITSM Problem Manager organises and runs a Major Problem Review (within 2 w-days of the closure of the problem).</p> <p>The ITSM Problem Manager writes down a report for this major problem, which includes a debriefing of the problem as well as an action plan that will be communicated to all relevant stakeholders.</p> <p>This report is communicated 5 business days after the review at the latest via e-mail to DG TAXUD A4/ISD and the CI-owner.</p>   |
| <div data-bbox="268 1536 496 1666"> <div>PM.4.1</div> <div>Review Problems &amp; Errors backlog</div> </div>          | <p><b><u>PM.4 Resolution Monitoring</u></b></p> <p><b>PM.4.1 Review problems &amp; errors backlog</b></p> <p>On a (at least) weekly basis, the ITSM Problem manager checks the backlog of problems and errors and check progress with the problem investigator(s), the CI-owner and DG TAXUD A4/ISD. He/she uses the information collected to provide information to users (PM.4.2) and if needed escalate resolution issues (PM. 4.3). This is done via the (bi-) weekly conference call.</p>  |
| <div data-bbox="268 1823 496 1953"> <div>PM.4.2</div> <div>Provide progress information to users</div> </div>         | <p><b>PM.4.2 Provide progress information to users</b></p> <p>Users should be informed on a regular basis as to the progress of problems for which they are involved with (DG TAXUD Project Managers, ITSM process owners...).</p> <p>The ITSM Problem Manager communicates the appropriate information on a timely basis to all stakeholders (DG TAXUD</p>   |

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|   | or ITSM) – timely meaning: P1 = 2 w-days, P2 = 5 w-days the higher the priority of problems the more frequent the communication will be.  |
| <div>PM.4.3</div> <div>Escalate Resolution issues</div>                     | <p><b>PM.4.3 Escalate resolution issues</b></p> <p>Problems that cannot be investigated, diagnosed or fixed in a timely manner (refer to the current SLA) will be escalated by the ITSM Problem Manager to the ITSM Management via e-mail and make sure that DG TAXUD A4/ CPT and CI owners are informed.</p>   |
| <div>PM.4.4</div> <div>Chair the Problems &amp; Errors Review meeting</div> | <p><b>PM.4.4 Chair the problems &amp; errors review meeting</b></p> <p>The ITSM Problem Manager chairs a monthly review on current problems and errors and invites the stakeholders (both from DG TAXUD and from ITSM) to discuss all problems.</p> <p>The agenda of this meeting will cover the following items:</p> <ul style="list-style-type: none"> <li>• Resolution plan for critical and high priority problems;</li> <li>• Resolution plan for problems with a breached SLA;</li> <li>• Advice for dealing with complex problems;</li> <li>• New problems;</li> <li>• New workarounds;</li> <li>• Closed problems;</li> <li>• Problems to park.</li> </ul> <p>The ITSM Problem Manager writes down and communicates the minutes of this monthly review.</p> |
|   | <p><b><u>PM.5 Documenting the Problem</u></b></p> <p>The actions of the Problem Management process are documented using the SMT by firstly opening a ticket and then adding steps to it. The Problem ticket is visible to DG TAXUD through the ITSM Portal. The other forms of documentation are the minuting of the meetings with the Business Threads and the problem report.</p>   |
| <div>PM.5.1</div> <div>Open Ticket in the ITSM SMT</div>                    | <p><b>PM.5.1 Open Ticket in the ITSM SMT</b></p> <p>When the ITSM Problem Manager wants to initiate a Problem, he/she opens a ticket in the SMT that he/she uses to document and track all activity in respect of the Problem resolution.</p>   |
| <div>PM.5.2</div> <div>Add Information to the Problem Ticket</div>          | <p><b>PM.5.2 Add Information to the Problem Ticket</b></p> <p>As the Problem is investigated, the ITSM Problem Manager adds steps to the ticket in the SMT and attaches and/or cuts and pastes all relevant documentation and emails. These steps continue one by one including any RfCs that the ITSM Problem Manager may raise with Change Management, as well as any</p>   |



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|  | PIR activities, right up to the time that the CI owner and/or DG TAXUD gives permission to close the Problem ticket. Known Errors are documented on the Problem ticket as is any workaround found.                          |
| <div>PM.5.3</div> <div>Add Information to the Problem Ticket</div> | <b>PM.5.3 Add Attachments to the Problem Ticket</b><br>When any additional documents are part of a problem's record, the ITSM Problem Manager attaches them and/or copy and pastes them into the Problem ticket in the SMT. |