## PROBLEM MANAGEMENT PROCESS

<table>
<thead>
<tr>
<th>Code:</th>
<th></th>
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<tbody>
<tr>
<td>Version:</td>
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**Comment [BV1]:** All fields in this document marked by square brackets [ ] must be filled in.

**Comment [BV2]:** If you want to find out more about Problem Management process, see [http://www.20000academy.com/Blog/Aug ust-2013/ITIL-Problem-Management-getting-rid-of-problems](http://www.20000academy.com/Blog/August-2013/ITIL-Problem-Management-getting-rid-of-problems)

**Comment [BV3]:** The document coding system should be in line with the organization's existing system for document coding; in case such a system is not in place, this line may be deleted.

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Change history

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<th>Date</th>
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<th>Description of change</th>
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<tr>
<td>xx/xx/2013</td>
<td>0.1</td>
<td>Branimir Valentic</td>
<td>Basic document outline</td>
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1. **Purpose, scope and users**

The aim of this document is to define the purpose, scope, principles and activities of the Problem Management process.

This document is applied to the entire IT Service Management (ITSM) organization. Users of this document are all employees of [organization name], as well as all external parties who have a role in ITSM.

2. **Reference documents**

- Problem Management Policy
- Problem Measurement and Metrics
- Incident Management Process
- Change Management Process
- Service Asset and Configuration Management Process
- ISO/IEC 20000-1:2011, clause 8.2
3. Process

![Problem Management process activities diagram]

Figure: Problem Management process activities

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Comment [BV7]: Double-click to edit figure and adapt to your own requirements.

Comment [BV8]: ***OPTION***
Delete this figure if you are implementing ISO20000 and not ITIL.
3.1. Problem detection

Sources of a Problem are:
- Web portal – [insert web or intranet address]
- Service Desk
- Incident Management process
- Event Management process – [tool names]
- Supplier or contractor
- Problem Management – [enter group name]

3.2. Problem logging

[Organization] uses [Insert Problem Management tool name] for Problem Management; see Problem Record in Appendix. [Insert Problem Management tool name] logs problems with related data.

Responsibility to enter problem data depends on the source of the problem, as follows:

<table>
<thead>
<tr>
<th>Source</th>
<th>Responsibility for logging, categorization and prioritization</th>
</tr>
</thead>
<tbody>
<tr>
<td>Web portal: [insert web or intranet address]</td>
<td>User</td>
</tr>
<tr>
<td>Service Desk</td>
<td>Service Desk staff</td>
</tr>
<tr>
<td>Incident Management</td>
<td>Incident assignee</td>
</tr>
<tr>
<td>Event management […]</td>
<td>Event Manager</td>
</tr>
<tr>
<td>Supplier or contractor</td>
<td>Supplier Manager</td>
</tr>
<tr>
<td>Proactive Problem Management – [enter group name]</td>
<td>Problem Manager</td>
</tr>
</tbody>
</table>

Mandatory data that need to be recorded are:
- Problem number – provided automatically
- Description
- Problem category
- Problem summary
- Problem priority
- Date reference (incident number)
- Problem owner

The Problem Analyst is responsible, as the that every action is logged so that a full history of problem resolution is available.

3.3. Problem categorization and prioritization

Problems follow incident categorization and prioritization, with the exception of proactive problem management.

[Problem Manager] can re-categorize and adjust the priority of problem categories.

Categories are set in the Problem Catalogue (see Problem Catalogue in Appendix).

Priority consists of impact and urgency, has [details and a context-based on the following table]
3.4. Problem investigation and diagnosis

[Problem Analyst] is responsible to diagnose the root cause, update the problem record, and update the Configuration Management System (CMS); see Service Asset and Configuration Management Process.

[Problem Manager] is responsible to provide appropriate resources with needed expertise.

[Problem Manager] coordinates activities with any other resource [IT Service Management organization].

[Problem Manager] serves as escalation level.

3.5. Workaround

Where the root cause has been identified, but the problem has not been permanently resolved, [Problem Analyst] identifies actions to reduce or eliminate the impact of the problem on the services. [role description] is responsible to apply any existing workaround(s) or find new ones to resolve the incident as soon as possible.

[Problem Analyst] is responsible to document (in problem record) every workaround implemented.

Resolution time of a problem depends on its priority code and is calculated as follows:

<table>
<thead>
<tr>
<th>Priority Code</th>
<th>Description</th>
<th>High Resolution Time</th>
<th>Medium Resolution Time</th>
<th>Low Resolution Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Critical</td>
<td>1 week</td>
<td>2 weeks</td>
<td>3 weeks</td>
</tr>
<tr>
<td>2</td>
<td>Major</td>
<td>2 weeks</td>
<td>3 weeks</td>
<td>4 weeks</td>
</tr>
<tr>
<td>3</td>
<td>Significant</td>
<td>3 weeks</td>
<td>4 weeks</td>
<td>5 weeks</td>
</tr>
<tr>
<td>4</td>
<td>Planned</td>
<td>4 weeks</td>
<td>5 weeks</td>
<td>6 weeks</td>
</tr>
</tbody>
</table>

Impact – business impact that a problem causes:

<table>
<thead>
<tr>
<th>Impact</th>
<th>Low</th>
</tr>
</thead>
<tbody>
<tr>
<td>&gt;50% of its are affected</td>
<td>50% - 70% of its are affected</td>
</tr>
</tbody>
</table>

Urgency – how quickly the business needs a resolution:

<table>
<thead>
<tr>
<th>Urgency</th>
<th>Medium</th>
<th>Low</th>
</tr>
</thead>
<tbody>
<tr>
<td>Immediately - no workaround</td>
<td>In the medium term - a partial workaround exists</td>
<td>In the long term - a good workaround exists</td>
</tr>
</tbody>
</table>
After implemented workaround, [Problem Manager] communicates the workaround to [Problem Manager], who changes problem priority if needed.

3.6. Raising a known error record

As soon as the root cause of a problem and respective workaround are known, a known error record (see Known Error Record in Appendix) must be raised by [...].

3.7. Change needed?

[Problem Manager] raises a Request for Change (RFC) (see Request for Change and Change Record in Appendix of Change Management Process) in the problem resolution process if a change to be implemented.

3.8. Problem resolution

[...] is responsible to implement resolution of a problem. [Problem Manager] coordinates activities within service management organization.

3.9. Problem closure

[Problem Manager] is responsible to close the problem and send minutes back to the Service Desk (see Service Desk Function) and to [Request Fulfillment Manager] for跟进 and see if the problem record matches the problem and known error record.

3.10. Major problem review

[role description] is responsible to fill out a Major Problem Report (see Major Problem Report in Appendix) after the minutes and send it to [...].

[role description] is responsible to organize a major problem review meeting [once every quarter]; see Minutes of Meeting of Major Problem review.

4. Roles and responsibilities

4.1. Problem Manager

[Comment BV36]: Delete if not relevant.

[Comment BV37]: ...

[Comment BV38]: e.g. problem assignee, export working on problem resolution – Problem Analyst, Problem Manager...

[Comment BV39]: ***OPTION***

[Comment BV40]: ***OPTION***

[Comment BV41]: e.g. expert working on a project resolution, Release and Deployment Management...

[Comment BV42]: e.g. Problem Analyst

[Comment BV43]:

[Comment BV44]: ***OPTION***

[Comment BV45]: ***OPTION***

[Comment BV46]: e.g. some management function like CID.

[Comment BV47]: e.g. Problem Manager, IT Service Manager...

[Comment BV48]: Adapt to your own requirements.
4.2. Problem Analyst

[role description] assigns the Problem Analyst role.

Responsibilities of Problem Analyst:
- Review incident data
- Analyze problem to correctly categorize and prioritize
- Work with third parties in order to fulfill their obligations and productively contribute to problem resolution
- Raise Request for Change (RFC)
- Update KEDB with new or updated known errors and workarounds

5. Measurement and Metrics

5.1. Measurement

[role description] is responsible for evaluation of SLA achievement (i.e. comparison of target Resolution Time and achieved Resolution Time) and, measures. Evaluation is done on a weekly basis.

Reports are sent to the Service Level Manager on a monthly basis.

[role description] is responsible for ensuring that:
- Reports are produced monthly, with quarterly and yearly summaries
- Reports are evaluated
- Measures for improvement are defined

5.2. Metrics
Metrics reports are produced monthly, with analyses and summary reports. Metrics to be reported:

- Total number of problems
- Number of problems resolved in the period
- Percentage of problems resolved in the period
- Breakdown of problems by categories and status (logged, work in progress, closed, etc.)
- Mean elapsed time to achieve problem resolution or circumvention, broken down by impact category
- Percentage of problems handled within
- Number of problems reopened and as a percentage of the total
- Number and percentage of problems resolved without involvement of external parties
- Number of recurring Incidents

Reports are grouped into the following categories:

- Problem category
- Other
- Location

6. Managing records kept on the basis of this document

<table>
<thead>
<tr>
<th>Record name</th>
<th>Storage location</th>
<th>Person responsible for storage</th>
<th>Controls for record protection</th>
<th>Retention time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Problem Record</td>
<td>[tool name]</td>
<td>[job title]</td>
<td>Service Desk and Incident Management roles have the right to add to the record; Service Desk and Problem Management functions have the right to add to/change the record.</td>
<td>Problem Records are kept for [5 years].</td>
</tr>
<tr>
<td>in electronic form</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Reports</td>
<td>[tool name]</td>
<td>[job title]</td>
<td>Problem Manager</td>
<td>Reports are kept for [...].</td>
</tr>
<tr>
<td>Known Error record</td>
<td>[tool name]</td>
<td>[job title]</td>
<td>Problem Analyst</td>
<td>Known Error records are kept for [5 years].</td>
</tr>
<tr>
<td>Major Problem report</td>
<td>[tool name]</td>
<td>[job title]</td>
<td>Problem Manager</td>
<td>Reports are kept for [...].</td>
</tr>
</tbody>
</table>

7. Validity and document management

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This document is valid as of [date].

Owner of this document is [job title], who must check and, if necessary, update the document at least once a year.

8. Appendices

- Appendix 1: Problem Catalogue
- Appendix 2: Problem Record
- Appendix 3: Major Problem Report
- Appendix 4: Known Error Record
- Appendix 5: Minutes of Meeting of Major Problem Review

Comment [BV69]: This is only a recommendation; adjust frequency as appropriate.

Comment [BV70]: ***OPTION*** Delete this if you are implementing ISO 20000 and not ITIL.

Comment [BV71]: ***OPTION*** Delete this if you are implementing ISO 20000 and not ITIL.

Comment [BV72]: Only necessary if the Procedure for Document Control prescribes that paper documents must be signed.
These are data which are always needed. Depending on organization requirements, i.e. tool features, this can be changed, i.e. additional data can/must be collected:

- Problem urgency
- Problem impact
- Problem prioritization
- Date/time recorded
- Method of notification (telephone, automatic, email, in person, etc.)
- Related to
- Support group/person to which the problem is allocated
- Activities undertaken to resolve the problem and when these took place
- Resolution date and time
- Closure category
- Closure date and time

i.e. change according to organizational rules.

It is advisable to categorize problems in a way that is meaningful for the organization. More than that will be confusing when responsible person has to choose.

When tool is used, categories will correspond to Problem Catalogue and will be used to route problem to expert groups.

Note: categories in Problem catalogue should be the same as in Incident catalogue.