ADIB – Standard

# Problem Management Standard
# STD-ITD-010

Date: 30<sup>th</sup> August 2023
Version: 7.0

**Version Control & Change Management**

| Version | Issue Date | Details of Change | Reason for change |
|---|---|---|---|
| 7.0 | 30th August, 2023 | Review and align with Service Management tool | Annual Review |
| 6.0 | 30th August, 2022 | Added Phases name to align with Service Management tool | Implementation of new services management tool |
| 5.0 | 30th January, 2022 | Added: cloud problem related controls Modified: Problem shall be logged for new P1 incidents | Cloud adoption |
| 4.0 | Publishing Date | Modified Problem SLAs by increasing number of days for each phase of problem management | To improve the maturity of problem management practices |
| 3.1 | Publishing Date | Re-publishing document | Annual review cycle |
| 3.0 | Publishing date | New Template | Moved to new approved template to maintain the uniformity of all documents |
| 2.0 | Publishing date | Updated standard as per the practice of Problem Management | Standard improvement |
| 1.1 | Publishing date | Inclusion of Problem notification matrix configured in HPSM for handling problem closure Minor grammatical and document change history updates Updates from process owner to be mentioned | Process optimization |
| 1.0 | Publishing date | Initial version – Segregated the controls from earlier SOP to newly created STD Changed the scope of the standard from covering only client-side problems to Applications/system problems Introduced problem handling phases, SLAs, and problem status codes as per the ITIL framework and HPSM automation | |

| Prepared by | Approved by | Reviewed by |
|---|---|---|
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# Document Contents

# 1    Overview

The purpose of the Problem Management standard is to ensure that all problems, as identified by Problem Management, which affect the daily operations of ADIB ITD, are managed through an established process.

The goal of Problem Management is to minimize the adverse impact of recurring issues on the business, caused by underlying errors within the Applications and Infrastructure managed by ITD. Problem Management seeks to prevent recurrence of incidents related to these errors.

# 2    Applicability

All IT on-premises and cloud infrastructure and application services in ADIB UAE, Qatar, Iraq, Sudan, and UK IT environment.

# 3    Process Owner

IT Change Manager

# 4    General Policy

1.  IT Managers will be responsible for ensuring the Problem Management process is followed.
2.  IT managers or team leads will commit appropriate resources to conduct Problem Management activities, such as identifying the recurring issues, Root Cause Analysis, validation, or creation of workarounds, and working on the permanent solution with respective parties.
3.  The KPI for Problem Management shall be revisited and validated along with the process review cycle.

# 5    Problem Phases in ITSM Tool:

## 5.1    New Phase

1.  A problem shall be logged for new P1 incidents raised in ADIB service Management tool
2.  Repetitive incident related to the same function in an application/system is qualified as a problem record as per the "Criteria of Problem Creation" table.
3.  New Problem record can be raised, or the incident can be linked to an existing problem if available.
4.  All problem records will be logged and tracked in ADIB ITSM Tool.
5.  Authorized users (IT Staff) will initiate the problem record in the system, which will be validated and approved by the Assignment group members.
6.  As for cloud related problem tickets, they should be assigning initially to cloud operation team. They can re-assign the problem ticket to cloud COE team if support required from them.

    a.  Cloud COE Team can check if CSP's support is required to investigate and diagnose the problem. If yes, then they need to raise a ticket with CSP with using predefined procedures and guidelines.

    b.  Cloud Problem Analysts will perform monthly review of the received reports of previous month' incidents, logs, events from monitoring tools along with cloud specific tools and utilities; additionally, the problem manager will do review of sampled data of the mentioned incidents to ensure the process compliance.

    c.  Cloud Problem Analysts will perform analysis of data received after the monthly review of Cloud incidents.

**Criteria of Problem Creation:**

| # | Criteria |
|---|---|
| 1 | Identify as a problem if there is P1 incident raised. |
| 2 | Identify as a problem if there are **4** High (P2) incidents within a month related to the same function in an application/system. |
| 3 | Identify as a problem if there are **6** Average (P3) incidents within a month related to the same function in an application/system. |
| 4 | Identify as a problem if there are **10** Low (P4) incidents within a month related to the same function in an application/system. |

## 5.2    Assess Phase

- Members of assignment group will assign the problem ticket to a member of their group along with validating the initial provided details including the impact and urgency as per the below guidelines. However, initiator may assign the problem ticket directly to a member of the assignment group, if required.

- Upon validation, the assignment group members will accept/ deny the problem ticket.

- Problems shall be prioritized based on impact and urgency to business.

### 5.2.1    Impact Guidelines

1. The following guidelines can be used to identify the impact of the problem:
    a. An objective analysis of its impact (its effect on the business). The effect of the problem on the business should be taken into consideration while determining the impact.
    b. The number of incidents associated with the problem can also be used to determine the impact of the problem.
    c. The relationships between various modules in the application shall help to determine the extent of impact of a problem.

2. Impact classification will be as follows:

| Impact Classification | Description |
|---|---|
| **1 - Enterprise** | **Enterprise level impact**<br><br>• Extent of the problem impact is widespread covering/encompassing the entire ADIB Enterprise (all ADIB branches regional & international) or multiple ADIB branches or departments.<br>  ◦ E.g.: All IT Services/ Delivery Channels of the Enterprise or multiple branches are down; such as email service which is used by the entire organization.<br>• Problem has an extreme adverse impact on ADIB.<br>  ◦ E.g.: Incidents causing a huge financial loss to ADIB; Unavailability of critical business services; a large portion of ADIB customers are adversely affected by the problem. |
| **2 - Site/Dept** | **Site/Department level impact**<br><br>• Extent of the problem impact covers /encompasses a single ADIB |

| Impact Classification | Description |
|---|---|
| | branch/site. |
| |     o  E.g.: Multiple IT Services/ Delivery Channels of a single ADIB branch/site are down etc. |
| | • Adverse impact of the incident on ADIB is high. |
| |     o  E.g.: Incidents causing a major operational loss to ADIB with considerable financial impact; A large portion of ADIB employees not able to perform important business operations at required service levels etc. |
| 3 - Multiple Users | **Multiple users impacted** <br><br> • Extent of the incident impact covers multiple users. <br>     o  E.g.: Multiple users do not have access to IT Systems/services to perform operational tasks. <br> • Adverse impact of the incident on ADIB is moderate. <br>     o  E.g.: Incidents causing moderate operational loss to ADIB with minor financial impact etc. |
| 4 – User | **Single User Impact** <br><br> • Extent of the incident impact covers single user. <br>     o  E.g.: Single user does not have access or have limited access to IT Systems/services to perform operational tasks. <br> • Negative impact of the incident on ADIB is minor. <br>     o  E.g.: Incidents causing minor operational loss to ADIB with no financial impact etc. |

### 5.2.2 Urgency Guidelines

1. The following guidelines can be used to identify the urgency of the problem:
   a. Urgency is the extent to which resolution of a problem can bear delay.
   b. Urgency illustrates the time that is available to avert, or at least reduce the impact.
      Aspects influencing urgency are, for example:
      i. Existence of a temporary fix or Work-around.
      ii. Possibility of planned delay of resolution.
2. Urgency classification will be as follows:

| Urgency Classification | Description |
|---|---|
| **1 - Very High** | Very high or critically urgent to resolve problem |
| **2 – High** | High urgency to resolve problem |
| **3 – Medium** | Medium urgency to resolve problem |
| **4 – Low** | Low urgency to resolve problem |

### 5.2.3 Priority Guidelines

1. Priority indicates the relative order in which a series of problems should be addressed.

2. Aspect influencing priority is a combination of impact and urgency taking into consideration below factors whenever applicable:
   a. Risk and availability of resources or specialist skills
   b. Size, scope, and complexity of the problem
   c. Agreed service levels as these may dictate the order in which problems are addressed
   d. Cost to the business of resolving or not resolving the problem.
3. Based on the 'Impact' and 'Urgency' of the problem, the problem priority can take the values.

| Impact<br>Urgency | 1 - Enterprise | 2 - Site/Dept | 3 - Multiple Users | 4 - User |
|---|---|---|---|---|
| 1 - Very High | P1 (Critical) | P1 | P2 | P2 |
| 2 – High | P1 | P2 (High) | P2 | P3 |
| 3 – Medium | P2 | P2 | P3 (Moderate) | P3 |
| 4 – Low | P2 | P3 | P3 | P4 (Low) |

## 5.3 Root Cause Analysis Phase

Assigned Group Members to ensure that:

1. Root cause analysis to be performed and the Cause Notes, Workaround to be provided.

2. Assign problem tasks to other team(s) for investigation and diagnosis whenever required, see Annex IV.

## 5.4 Fix in Progress Phase

1. Problem can be considered as fixed by implementing the solution along with providing the Fix Notes.

2. Assignee or any member of assignment group may create a knowledge asset, when information is good to share and publish for entitled users.

## 5.5 Resolved Phase

1. After implementing the resolution, the problem can be moved to Resolved status and will be under monitoring to ensure that no further incidents are occurring as a result of the identified error.

2. Problem Manager will verify if the problem tickets details are proper, otherwise re-assign the ticket to the team to provide more details whenever required.

## 5.6 Closed Phase

- Problem Management Group Members will have exclusive option to close the problem ticket. Closure exception: In case the reported issue has not occurred for 3 months, the related problem ticket can be closed; however, if same issue occurred afterwards a new problem ticket can be logged and to refer to the existing one.

## 6 Review and Monitoring

1. Monthly incident tickets shall be sent to Problems Analysts / Line Managers to identify the repetitive incidents and to raise the related problem(s) whenever applicable.

2. Monthly incidents to be reviewed by the problem manager and the assignment group members to verify the identification of repetitive incidents.
3. Open problem tickets shall be sent to respective problem analysts, line managers and respective sections heads on weekly basis.
4. Open problem tickets shall be sent to respective ITD department heads and sections heads on monthly basis.
5. Open problem records shall be revised periodically by the problem manager, i.e. quarterly review shall be reflected in ITSM.

## 7    Exceptions

1. Planned activities and issues that are out of IT scope/control such as power outage, service provider failures are exempted.

## 8    Appendixes

### Annex I: Acronyms

| Abbreviation | Acronym |
|---|---|
| ADIB | Abu Dhabi Islamic Bank |
| ITD | Information Technology Division |
| ITSM | IT Service Manager Tool |
| KPI | Key Performance Indicators |

### Annex II: Glossary

| Term | Definition |
|---|---|
| Problem | Underlying cause of recurring Incidents. |
| Problem Management | Process responsible for managing the lifecycle of all problems and to minimize the adverse impact of recurring issues on the business, caused by underlying errors within the Applications and Infrastructure managed by ITD. |
| Workaround | Temporary solution |

### Annex III: References

| Doc. Ref. No. | Name | Type of Document (Policy / Standard) |
|---|---|---|
| POL-ITD-001 | ITD Policy | Policy |

### Annex IIII: Problem Module Navigation Panel

The following views will be available under the Problem module in navigation panel of ADIB ITSM:

| View Name |
| --- |
| Create New |
| Assigned to me |
| Open |
| Open - Unassigned |
| Resolved |
| All |
| Overview |

## Annex IV: Problem Task Types:

    a.   Root Cause Analysis

    b.   General

    c.   SIP (Service Improvement Program)

## Annex V: Problem Notification and Escalation

Below notifications are configured in ADIB ITSM throughout the lifecycle of the Problem Management.

| S NO. | Notification Name/ Activity | When to Send | Whom to Notify |
| --- | --- | --- | --- |
| 1 | Problem creation | Problem is created | Opened By<br>Problem Management Group |
| 2 | Problem assigned to my group | Problem assigned to Group | Assignment Group<br>Problem Management Group |
| 3 | Problem assigned to me | Problem is assigned to Assignee | Assigned To |
| 4 | Problem Task assigned to my group | Problem Task Assigned to Group | Assignment Group<br>Problem Management Group |
| 5 | Problem Task assigned to me | Problem Task assigned to assignee | Assigned To |
| 6 | Problem Tasks closed | Closure of Task | Opened By<br>Assignment Group<br>Problem Management Group |
| 7 | Problem Is resolved | Problem is Resolved | Assignment Group<br>Problem Management Group |
| 8 | Problem Closed | Problem is Closed | Opened By<br>Assignment Group<br>Problem Management Group |
| 9 | Reopen Resolved Problem | Problem is Reanalyzed | Assigned Group<br>Problem Management Group |
| 10 | Problem work notes (unassigned) | Problem work notes updated and Assigned To is empty | Assignment Group |

| 11 | Problem Task work notes (unassigned) | Task work notes updated and Assigned To is empty | Assignment Group Problem Management Group |
|----|----|----|----|
| 12 | Problem Task work notes (to assignee) | Task work notes updated and Assigned To populated | Assigned To Problem Management Group |
| 13 | Problem work notes (to IT staff) | Problem work notes updated and Assigned To populated | Opened By Assigned To Problem Management Group |

### Annex VI:  Problem Resolution

Predicting the exact date for problem resolution is challenging due to the nature of root cause analysis and the resources required such as money, time, and people to resolve problems, however, the team can set a tentative solution date which gives an indication as per to the available resources and information.

### Annex VIII: KPI review

- The KPIs for the Problem Management activities are defined in the Problem Management Procedure document
- The KPIs shall be reviewed and revised along with the process review cycle, based on historical data on how the KPIs have been achieved.