

D4.1: Role Map

Public Deliverable

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Abstract

This document defines the generic roles and discusses the need for specific roles needed to establish and maintain an (IT) service management system (SMS) for federated infrastructures. This is an important basis for setting up a qualification and certification scheme for persons in the FedSM context as well as for the considerations to be made when planning the implementation of ITSM in the FedSM 'client' partners' infrastructures.

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1. Introduction

This Deliverable develops a framework of required ITSM-related roles in Federated e-Infrastructures, where a role is defined as *a set of connected behaviours or actions that are performed by a person, team or group in a specific context*. This will relate closely to the set of processes and business models defined by WP3.

2. Important terms and concepts

The following terms and concepts are used for the purpose of this document.

Role

A role is as a set of connected behaviours or actions that are performed by a person, team or group in a specific context.

For example, a “flight captain” is a role performed by a person in the context of an airline operating a flight; a “flight crew” is a role performed by a team of people working together in the same context (including the person who owns the role of the flight captain).

Competence

In the context of this role map, competence is a set of expert or technical knowledge, personal skills, and experience that a person needs to effectively take on a specific role.

RACI

RACI charts are a tool to describe roles and responsibilities within a specific context (e.g. within a project or a business process) in a simplified and easy to grasp manner. The four letters R, A, C and I stand for the various generic forms of responsibility or participation: **R**esponsible, **A**ccountable, **C**onsulted and **I**nformed.

	Level 1 Support	Support Group	Incident Manager
Incident recording	R		A
In-depth analysis	I	R	A
Incident tracking	R		A

Figure 1: Example for a RACI chart

3. Overview of the FedSM role map

Wherever ITSM is implemented and related ITSM processes are defined, clearly defined roles are vital to ensure that people involved in these processes are aware of their authorities and responsibilities.

3.1. Purpose

The purpose of the role map is to establish the set of basic roles that need to be assigned in order to effectively perform ITSM in federated infrastructures. This framework of generic roles will serve as a guideline when establishing a service management system (SMS). Also, the roles and the competencies they require will form the basis for designing a personnel training and certification scheme (which is subject to a future activity in the FedSM project).

3.2. Generic and specific roles

For the reason of clarity, it makes sense to differentiate between generic roles and specific roles (not only) in an ITSM context. Thus, the FedSM role map encompasses both generic and specific roles, while it is relatively easy to achieve a consensus about a set of core generic roles, whereas specific roles can only be defined in a (process- or service-) specific context.

The following table describes and explains the difference between a generic and a specific role:

	Description	Non-ITSM example
Generic role	A conceptual role which may or has to be instantiated to define the concrete (specific) role	Flight captain
Specific role	A concrete role which can be assigned to exactly one person or team in order to give this person or team the responsibility for something	Flight captain for flight LH123 from MUC to BRU

3.3. Structure

The remainder of this short document is structured as follows:

- Section 4 provides an overview of the core **generic** roles in ITSM in accordance with standards and best practices.
- Section 5 discusses the definition of **specific** roles, based on the understanding of the seven generic roles from the previous section.
- Section 6 concludes the role map with some **additional hints and remarks**.

4. Generic roles in ITSM

The following generic roles build the core of the FedSM role map.

4.1. Senior Responsible Owner

The Senior Responsible Owner is the role that has the overall responsibility for the establishment and maintenance of the service management system. Consequently, a person with sufficient authority, usually a person on the top management level, should take it on.

Required competencies: The role of Senior Responsible Owner requires mostly general management skills. Since the person taking on this role is usually in a top management position with many other responsibilities, an expert level knowledge of ITSM cannot be expected. Nor is understanding of minute details of the individual processes required. However, as the “owner” of the entire service management system, the Senior Responsible Owner should be familiar with the goals, principles and fundamental mechanisms of service management, especially auditing and continual improvement.

4.2. Process Manager

The Process Manager is the manager and owner of the process. A differentiation between a process owner (accountable for the process) and a process manager (responsible for the design and establishment of the process) is not made here, since its usefulness is generally limited to the largest and most complex organizations.

The Process Manager designs and establishes the process and reports on-going process performance to the senior responsible owner. In processes with many involved persons, the Process Manager is also the (last) escalation point.

Required competencies: The main responsibilities of the process manager lie in the design, establishment and continual improvement of the process. Consequently, the ability to adapt ITSM good practice for a specific process to the needs of the organization is a necessary skill. Since every ITSM process interfaces with various other processes, familiarity with all elements of an IT service management system is required. General process management know-how, e.g. how to model processes, how to define useful performance indicators etc., should also be part of the Process Manager's competencies.

4.3. Case Manager

For processes that typically have many instances, e.g. Incident Management or Change Management, the Case Manager can be a useful role. The Case Manager takes responsibility for the advancement of a specific case, e.g. an incident or change.

Required competencies: As the Case Manager is not responsible for process design, not the same level of general ITSM know-how is necessary as for the Process Manager. Thorough knowledge of the defined process and its most important interfaces is a necessity however.

4.4. Process Staff

Most processes will involve persons that do not act in a steering role as process or case managers, but just execute one or more activities within the process. For example in the Incident Management process, members of level 1 support or support groups take on the generic of Process Staff.

Required competencies: Since Process Staff usually executes only individual activities within a process, knowledge of the according process-specific procedures (e.g. for Level 1 Support, knowledge of recording incident recording and classification procedures) is more important than a thorough knowledge of all process details or advanced ITSM topics. However, a basic understanding of service management principles and ITSM processes is indispensable, for Process Staff to understand its role and the importance of its activities within the context of the process, or to be able to make more useful improvement suggestions.

4.5. Service Owner

The Service Owner is the responsible person for a provided IT service. This role is typically taken on by persons that are team or group managers in the functional organization.

Required competencies: The responsibilities of the Service Owner relate to a specific service, not to process of another element of the overall service management system. The Service Owner however needs to cooperate closely with the process managers. On the one hand, the Service Owner, accountable for the performance of a service, has to rely on an effective service management, e.g. the timely and accurate recording of incidents related to the service. On the other hand, as the Service Owners are often the functional manager of Process Staff, Process Managers need their cooperation, too. Service Owners, not unlike the Senior Responsible Owner, need to understand the goals, principles and importance of service management, but not minute process details.

4.6. Internal ITSM Consultant

The Internal ITSM Consultant is not an integral part of the service management system, but an advisor to all other roles, especially the process managers. The Internal ITSM Consultant can also act as a mediator between the different ITSM roles, as well as a moderator between the process and the functional (line) managers.

Required competencies: The Internal ITSM Consultant should be an expert in all ITSM aspects.

4.7. Internal ITSM Auditor

For the effectiveness of a service management system, it is important that the defined processes are being followed, and that the processes are aligned to the documented policies. This conformance should be audited on a regular basis. Consequently an internal audit program needs to be established. This is the primary responsibility of the Internal ITSM Auditor.

Required competencies: The Internal ITSM Auditor will require a good understanding of ITSM principles as well as profound auditing expertise.

4.8. Summary

- The Senior Responsible Owner has the overall accountability for all ITSM-related activities;
- a Process Manager is responsible for a specific ITSM process (e.g. the process of incident management);
- a Case Manager is responsible for one specific case occurring in a process context (e.g. one specific incident to be resolved);
- a member of Process Staff carries out defined activities according to established procedures (e.g. the activity of prioritizing an incident);
- a Service Owner is responsible for a specific service which is part of the service catalogue (e.g. the service of providing computational resources);
- an Internal ITSM Consultant consults the Process Managers in defining (setting up) and improving their processes;
- an Internal ITSM Auditor conducts process audits to ensure effectiveness and compliance of processes.

Figure 2 shows the basic role map based on these generic roles, showing the most important relationships and dependencies between the roles.

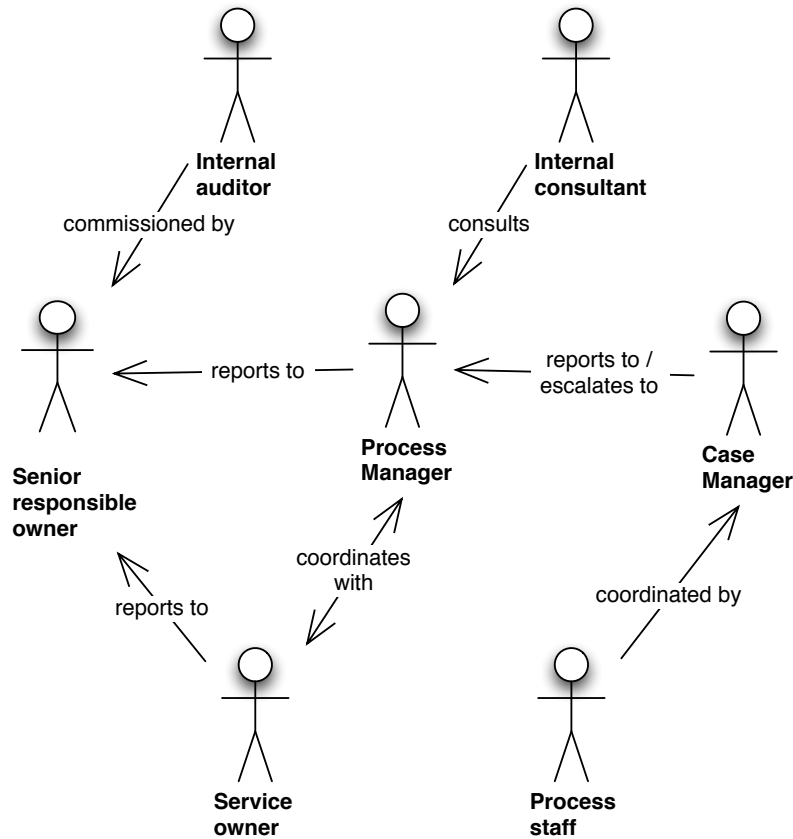


Figure 2: Basic role map

5. Specific roles

The roles Senior Responsible Owner, Internal Auditor, Internal Consultant and Service Owner are, in the context of the service management system and from a process perspective, global roles, i.e. they remain the same and are fulfilled by the same personnel, independent of which ITSM process is being considered.

Process Managers need to be assigned for each implemented process - Case Managers and Process Staff, too, depending on the nature and complexity of the process.

5.1. Mapping generic to specific roles

The following table gives an idea of how the seven generic roles may be mapped to specific roles in an ITSM context:

Generic role	Process-specific?	Service-specific?	Number of specific roles for this generic role model
Senior Responsible Owner	No	No	1 for the whole service provider
Process Manager	Yes	No	= number of ITSM processes implemented
Case Manager	Yes	Maybe	Depending on number and complexity of cases to be handled through processes
Process Staff	Yes	Maybe	Depending on size of the service provider

			and complexity of the ITSM processes
Service Owner	No	Yes	= number of services in the service catalogue
Internal ITSM Consultant	No	No	Depending on size, complexity and maturity of the service provider
Internal ITSM Auditor	No	No	Depending on size, complexity and maturity of the service provider

5.2. Examples of process-specific Process Manager roles

For the generic role of the Process Manager, the following specific roles are typical and popular in ITSM:

- Process Manager Incident Management (“Incident Manager”)
- Process Manager Problem Management (“Problem Manager”)
- Process Manager Change Management (“Change Manager”)
- Process Manager Release & Deployment Management (“Release & Deployment Manager”)
- Process Manager Configuration Management (“Configuration Manager”)
- Process Manager Service Level Management (“Service Level Manager”)
- Process Manager Service Continuity & Availability Management (“Service Continuity & Availability Manager”)
- Process Manager Information Security Management (“Information Security Manager”)
- ...

This, of course, depends on the applied process model. Usually, for each defined process, exactly one specific Process Manager role is defined, but there may be exceptions.

6. Concluding remarks

6.1. Domains

The domains underlying the FedSM role model correspond to the domains used in the federation type profile in Deliverable D3.1 *Business models for Federated e-Infrastructures*. These domains are:

- Federator
- Federation Member
- Consumer

This role map focuses on the (IT) service management system at the **Federator**.

6.2. ITSM-related roles in FedSM

Depending on the federation profile, some ITSM processes can be effectively implemented by the federator, while others cannot. Which process-specific roles need to be fulfilled at the federator organization, will consequently depend on the federation profile.

7. Summary and outlook

Figure 3 shows how this short Deliverable is positioned in the context of the FedSM work plan and its Deliverables:

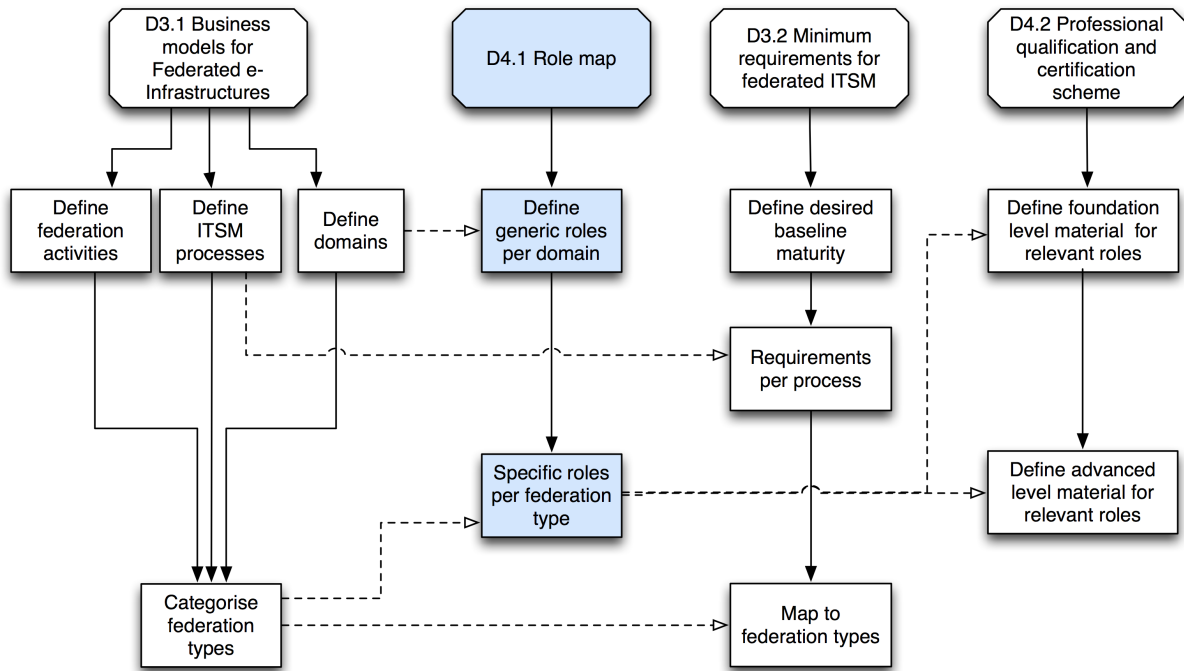


Figure 3: D4.1 (this Deliverable) in the context of the next steps of the FedSM project

Version History

Version	Date	Author	Change record
0.1	04.11.2012	M.Brenner	Skeleton
0.2	19.12.2012	M. Brenner	Draft
0.3	21.12.2012	T. Schaaf	Updates, version for internal review
1.0	31.12.2012	T. Schaaf	Final version
1.01	08.04.2014	M. Brenner	QA Review – minor changes