Expert training in IT service management according to FitSM

Version 1.3

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Purpose of this training

• Become familiar with ...
  – ITSM-related frameworks and standards;
  – understanding the organisational context of delivering and managing services;
  – leadership and governance;
  – planning and implementing ITSM;
  – monitoring, reviewing and improving ITSM.

• Achieve the
  *Expert level certificate in IT service management according to FitSM*
  issued by TÜV SÜD Examination Institute
FitSM Expert exam

- At the end of this training
- Closed book, i.e. no aids are allowed
- Duration: 75 minutes
- 30 multiple choice questions:
  - Six possible answers for each question: A, B, C, D, E and F
  - Between zero and six correct answers per question
- At least 75% of the maximum achievable points (135 out of 180) required to pass the examination
FitSM qualification program

<table>
<thead>
<tr>
<th>Expert Level</th>
<th>2 days</th>
</tr>
</thead>
<tbody>
<tr>
<td>Expert training in IT service management</td>
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<table>
<thead>
<tr>
<th>Advanced Level</th>
<th>2 days</th>
<th>2 days</th>
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<tbody>
<tr>
<td>Advanced training in service planning and delivery</td>
<td>Advanced training in service operation and control</td>
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<table>
<thead>
<tr>
<th>Foundation Level</th>
<th>1 day</th>
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<tbody>
<tr>
<td>Foundation training in IT service management</td>
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</tbody>
</table>
Agenda of this training

• FitSM Foundation & Advanced wrap-up
• ITSM-related frameworks and standards
• Understanding the organisational context of managing and delivering services
• Leadership and governance
• Planning and implementing services and ITSM (PLAN, DO)
• Monitoring, reviewing and improving services and ITSM (CHECK, ACT)
FitSM Foundation & Advanced Wrap-Up
What is a service?

Definition following FitSM-0:

Service:
A way to provide value to a user / customer through bringing about results that they want to achieve

Definition following FitSM-0:

IT service:
A service that is enabled by the use of information technology (IT)

Utility + Warranty = Value

What is the key purpose of the service?
Which additional factors will impact the customers’ service quality / performance perception?
### IT service management

**Definition following FitSM-0:**

**IT service management (ITSM):**

The entirety of *activities* performed by an IT *service provider* to plan, deliver, operate and control *IT services* offered to *customers*

*Note: The activities carried out in the ITSM context should be directed by policies and structured and organised by processes and supporting procedures.*

**Definition following FitSM-0:**

**Management system:**

Entirety of *policies, processes, procedures* and related resources and capabilities aiming at effectively performing management tasks in a given context and for a given subject

*Note: A management system is generally intangible. It is based on the idea of a systematic, structured and process-oriented way of managing.*
Service management system (SMS)

Definition following FitSM-0:

Service management system (SMS):
Overall management system that controls and supports (IT) service management within an organisation or federation

- Key elements in an SMS:
  - Policies
  - Processes
    - Inputs
    - Activities
    - Outputs
  - Roles
  - Procedures
## Policies and processes

**Definition following FitSM-0:**

**Policy:**

Documented set of intentions, expectations, goals, rules and requirements, often formally expressed by *top management* representatives in an organisation or *federation*

*Note: Policies are then realised in processes, which are in turn made up of procedures that people carry out.*

<table>
<thead>
<tr>
<th>Definition following FitSM-0:</th>
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</tr>
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<tbody>
<tr>
<td><strong>Policy:</strong></td>
<td>Documented set of intentions, expectations, goals, rules and requirements, often formally expressed by <em>top management</em> representatives in an organisation or <em>federation</em></td>
</tr>
<tr>
<td><strong>Process:</strong></td>
<td>Set of <em>activities</em> that bring about a specific objective or set of results from a set of defined inputs.</td>
</tr>
<tr>
<td><strong>Note:</strong></td>
<td>Generally, a process is a logical subdivision of a larger set of activities used to provide or manage services.</td>
</tr>
</tbody>
</table>
**Activities and procedures**

<table>
<thead>
<tr>
<th>Definition following FitSM-0:</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Activity:</strong></td>
</tr>
<tr>
<td>Set of actions carried out within a <em>process</em></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Definition following FitSM-0:</th>
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<tbody>
<tr>
<td><strong>Procedure:</strong></td>
</tr>
<tr>
<td>Specified set of steps or instructions to be carried out by an individual or team to perform one or more <em>activities of a process</em></td>
</tr>
</tbody>
</table>
What is a process?

• How to define a process:

  - Goal(s), objectives
  - Clearly defined inputs, triggers and outputs
  - Set of interrelated activities
  - Roles and responsibilities

**Definition following FitSM-0:**

**Role:**

Set of responsibilities collected into a logical unit that can be assigned to an individual
Agenda of this training

• FitSM Foundation & Advanced wrap-up
  ➢ **ITSM-related frameworks and standards**
  • Understanding the organisational context of managing and delivering services
  • Leadership and governance
  • Planning and implementing services and ITSM (PLAN, DO)
  • Monitoring, reviewing and improving services and ITSM (CHECK, ACT)
ITSM-related frameworks and standards
Overview

Legend

- ISO/IEC 27000
- ISO/IEC 20000
- FitSM
- ITIL
- COBIT

ISO 9000

IT (service) management standard / framework

Quality management standard

Information security management standard

adoption of concepts
## FitSM, ITIL, COBIT

### FitSM
- Family of standards for lightweight IT service management
- Design principle: Keep it simple!
- Provides a glossary of terms, requirements, activities, roles and a capability / maturity assessment tool
- Several parts / core documents, plus ITSM templates and samples
- Developed as part of an initiative funded by the European Commission

### IT Infrastructure Library
- Number of books with "good practice" in IT service management
- Slogan: "the key to managing IT services"
- Descriptions of key principles, concepts and processes in ITSM
- Popular and wide-spread framework
- 5 core books (one for each phase in a “service lifecycle”) released by the British Cabinet Office

### Control Objectives for Information and Related Technologies
- IT Governance framework
- Specifies control objectives, metrics, maturity models
- Developed by ISACA
- can be combined with ITIL® and ISO/IEC 20000
<table>
<thead>
<tr>
<th><strong>ISO 9000</strong></th>
<th><strong>ISO/IEC 20000</strong></th>
<th><strong>ISO/IEC 27000</strong></th>
</tr>
</thead>
</table>
| • International standard for quality management  
• Quality management principles  
• Minimum requirements for a quality management system | • Applicable to all organizations and branches  
• Auditable, certifiable  
• Several documents | • Developed by a joint committee (JTC) of ISO and IEC  
• Based on ITIL®, BS 15000  
• Auditable, certifiable |
| ISO/IEC 20000 | ISO/IEC 20000 | ISO/IEC 20000 |
| • International standard for managing and delivering IT services  
• Defines the minimum requirements on ITSM | • International standard for information security management  
• Minimum requirements for an information security management system (ISMS)  
• More than 100 security controls | • Applicable to all organizations and branches  
• Auditable, certifiable  
• Based on BS 7799  
• Auditable, certifiable  
• Several documents |
FitSM

Keywords

Family of standards for lightweight ITSM; all parts freely available; main design principle: keep it simple; focus on core ITSM processes; applicable to federated service provisioning scenarios
FitSM: Overview and key facts

• A family of standards for lightweight IT service management
• Suitable for IT service providers of any type and scale
• Main design principle: Keep it simple!
• All parts freely available:

www.fitsm.eu

The development of the FitSM standards is supported and funded by the European Commission through the EC-FP7 project “FedSM” under contract number 312851.
FitSM parts

Core Standard

- FitSM-0: Overview & vocabulary
- FitSM-1: Requirements
- FitSM-2: Objectives and activities
- FitSM-3: Role model

Implementation aids

- FitSM-4: Selected templates and samples
- FitSM-5: Selected implementation guides
- FitSM-6: Maturity and capability assessment scheme
FitSM logic

What do we need to achieve?

- FitSM-0: Overview and vocabulary
- FitSM-1: Requirements

How can we organize it?

- FitSM-2: Objectives and activities
- FitSM-3: Role model

How can we put it in practice?

- FitSM-4: Selected templates and samples
- FitSM-5: Selected implementation guides

How did we perform?

- FitSM-6: Maturity and capability assessment scheme
1. Service portfolio management (SPM)
2. Service level management (SLM)
3. Service reporting management (SRM)
4. Service availability & continuity management (SACM)
5. Capacity management (CAPM)
6. Information security management (ISM)
7. Customer relationship management (CRM)
8. Supplier relationship management (SUPPM)
9. Incident & service request management (ISRM)
10. Problem management (PM)
11. Configuration management (CONFM)
12. Change management (CHM)
13. Release & deployment management (RDM)
14. Continual service improvement management (CSI)
ITIL

Keywords

Collection of books; good practices for ITSM; service lifecycle-based approach – 5 phases: service strategy, service design, service transition, service operation, continual service improvement
ITIL: Overview and key facts

- A number of books with “good practices” for IT service management (ITSM)
- Slogan: “the key to managing IT services”
- Descriptions of ITSM processes and supporting concepts
- Form of publication: books
ITIL: Structure

• 5 lifecycle phases (for each stage: one identically named core publication):
  – Service strategy
  – Service design
  – Service transition
  – Service operation
  – Continual service improvement

• Process model consisting of 26 ITSM processes
## Overview of the ITIL core publications

<table>
<thead>
<tr>
<th>Phase</th>
<th>Description</th>
<th>Key outputs</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Service Strategy</strong></td>
<td>Long-term plans and settings aiming at providing value-generating IT services that are clearly aligned to business / customer demands</td>
<td>Key output of this phase: service portfolio</td>
</tr>
<tr>
<td><strong>Service Design</strong></td>
<td>Planning and design of IT services under consideration of customer requirements, aiming at enabling smooth transition and operation</td>
<td>Key outputs: service design and transition packages and related plans</td>
</tr>
<tr>
<td><strong>Service Transition</strong></td>
<td>Effective transition of new or changed services from design to operation under consideration of risks and other relevant limitations / constraints</td>
<td>Key outputs: change and release plans and records</td>
</tr>
<tr>
<td><strong>Service Operation</strong></td>
<td>Delivery of IT services to users according to agreed service levels, including support in the context of events, incidents, service requests and access rights</td>
<td>Key outputs: records of operational occurrences</td>
</tr>
<tr>
<td><strong>Continual Service Improvement</strong></td>
<td>Institutionalising the principle of continual improvement, based on monitoring, reporting and evaluation</td>
<td>Key outputs: reports and improvements</td>
</tr>
</tbody>
</table>
ITIL: Process model

**Service Strategy**
- Strategy Mgmt. for IT Services
- Service Portfolio Mgmt.
- Demand Mgmt.
- Business Relationship Mgmt.
- Financial Mgmt.

**Service Design**
- Service Catalogue Mgmt.
- Service Level Mgmt.
- Capacity Mgmt.
- Availability Mgmt.
- Continuity Mgmt.
- Security Mgmt.
- Supplier Mgmt.

**Service Transition**
- Change Mgmt.
- Service Asset and Configuration Mgmt.
- Release and Deployment Mgmt.
- Service Validation and Testing
- Change Evaluation
- Knowledge Mgmt.

**Service Operation**
- Event Mgmt.
- Incident Mgmt.
- Request Fulfillment
- Problem Mgmt.
- Access Mgmt.

**Continual Service Improvement**
- The 7-Step Improvement Process
- Service Reporting
COBIT

Keywords

Framework for governing and managing enterprise IT
Framework for governing and managing enterprise IT

Developed and published by ISACA (Information Systems Audit and Control Association)

Several documents, including “Enabling Processes” based on a process reference model of 37 governance and management processes in 5 groups (COBIT 5)

Form of publication: digital documents (PDF), free to members
COBIT: Key principles

- Meeting stakeholder needs
- Separating governance from management
- Covering the enterprise end-to-end
- Enabling a holistic approach
- Applying a single integrated framework
Governance vs. management

<table>
<thead>
<tr>
<th>Definition following COBIT:</th>
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</thead>
<tbody>
<tr>
<td><strong>Governance:</strong></td>
<td>Governance ensures that stakeholder needs, conditions and options are evaluated to determine balanced, agreed-on enterprise objectives to be achieved; setting direction through prioritisation and decision making; and monitoring performance and compliance against agreed-on direction and objectives.</td>
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<table>
<thead>
<tr>
<th>Definition following COBIT:</th>
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<tbody>
<tr>
<td><strong>Management:</strong></td>
<td>Management plans, builds, runs and monitors activities in alignment with the direction set by the governance body to achieve the enterprise objectives.</td>
</tr>
</tbody>
</table>

*Note: This definition refers to “management” as a discipline, not as a function, person or group of persons.*
Goals cascade to meet stakeholder needs

- Stakeholder drivers
- Stakeholder needs
- Enterprise goals
- IT-related goals
- Enabler goals
Governance vs. management

Definition following COBIT:

**Enabler:**
Enablers are factors that influence whether something works or not. Enablers are driven by the goals cascade, which means that IT-related goals define what the different enablers should achieve.

• Typical enabler categories:
  – Principles and policies
  – Processes
  – Organisational structures
  – Culture and behaviour
  – Information
  – Services, infrastructure and applications
  – People, skills and competencies
## Process reference model according to COBIT

### Evaluate, direct and monitor
- Ensure governance framework setting and maintenance
- Ensure benefits delivery
- Ensure risk optimisation
- Ensure resource optimisation
- Ensure stakeholder transparency

### Align, plan and organise
- Manage the IT management framework
- Manage strategy
- Manage enterprise architecture
- Manage innovation
- Manage portfolio
- Manage budget and costs
- Manage human resources
- Manage relationships
- Manage service agreements
- Manage suppliers
- Manage quality
- Manage risks
- Manage security

### Build, acquire and implement
- Manage programme and projects
- Manage requirements definition
- Manage solutions identification and build
- Manage availability and capacity
- Manage organisational change enablement
- Manage changes
- Manage change acceptance and transitioning
- Manage knowledge
- Manage assets
- Manage configuration

### Deliver, service and support
- Manage operations
- Manage service requests and incidents
- Manage problems
- Manage continuity
- Manage security services
- Manage business process controls

### Monitor, evaluate and assess
- Monitor, evaluate and assess performance and conformance
- Monitor, evaluate and assess the system of internal control
- Monitor, evaluate and assess compliance with external requirements
ISO 9000

Keywords

Requirements for quality management systems, quality management principles
ISO 9000: Overview and key facts

• **International standard for quality management**
• Subject: Development of a quality management system
• Editor: ISO (International Organization for Standardization)
• Application domain / recipients:
  – Manufacturing industry and service providers
  – Every form of industry and organisation
• Form of publication: Print, digital documents (PDF)
• Several parts:
  – ISO 9000: Overview and vocabulary
  – ISO 9001 (normative): Requirements for quality management systems
  – ISO 9004: Managing for the sustained success of an organisation
  – ISO 19011: Guidelines for auditing management systems (see later)
ISO 9000: Quality management principles

<table>
<thead>
<tr>
<th>Principle</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Customer focus</td>
<td>Organizations depend on their customers and should understand current and future customer needs</td>
</tr>
<tr>
<td>Leadership</td>
<td>Leaders establish unity of purpose and direction of the organization</td>
</tr>
<tr>
<td>Involvement of people</td>
<td>People at all levels are the essence of an organization</td>
</tr>
<tr>
<td>Process approach</td>
<td>A desired result is achieved more effectively and efficiently when activities and related resources are managed as a process</td>
</tr>
</tbody>
</table>

ISO 9000: Quality management principles

<table>
<thead>
<tr>
<th>Principle</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>System approach to management</td>
<td>Understanding and managing interrelated processes as a system contributes to the organization’s effectiveness and efficiency in achieving its objectives</td>
</tr>
<tr>
<td>Continual improvement</td>
<td>Continual improvement of the organization’s overall performance should be a permanent objective of the organization</td>
</tr>
<tr>
<td>Factual approach to decision making</td>
<td>Effective decisions are based on the analysis of data and information</td>
</tr>
<tr>
<td>Mutually beneficial supplier relationships</td>
<td>An organization and its suppliers are interdependent and a mutually beneficial relationship enhances the ability of both to create value</td>
</tr>
</tbody>
</table>
ISO/IEC 20000

Keywords

Requirements and guidance on the implementation of service management systems
ISO 20000: Overview and key facts

- **International standard for IT service management**
- Subject: Development of a service management system (SMS)
- Editor: ISO (International Organization for Standardization) and IEC (International Electrotechnical Commission)
- Application domain / recipients: Internal and external IT service providers
- Form of publication: Print, digital documents (PDF)
- Several parts:
  - ISO/IEC 20000-1 (normative): Requirements
  - ISO/IEC 20000-2: Guidance on the application of service management systems
  - ISO/IEC 20000-3: Guidance on scope definition and applicability
  - ISO/IEC 20000-4: Process reference model
  - ISO/IEC 20000-5: Exemplar implementation plan
ISO/IEC 20000-1: Structure and process model

| 1 | Scope |
| 2 | Normative references |
| 3 | Terms and definitions |
| 4 | Service management system general requirements |
| 5 | Design and transition of new or changed services |
| 6 | Service delivery processes |
| 7 | Relationship processes |
| 8 | Resolution processes |

- [Capacity management](#)
- [Service continuity and availability management](#)
- [Service level management](#)
- [Service reporting](#)
- [Information security management](#)
- [Budgeting and accounting for services](#)
- [Configuration management](#)
- [Change management](#)
- [Release and deployment management](#)
- [Business relationship management](#)
- [Supplier management](#)
- [Incident and service request management](#)
- [Problem management](#)
ISO/IEC 27000

Keywords

Requirements and guidance on the implementation of information security management systems
ISO 27000: Overview and key facts

- **International standard for information security management**
- **Subject:** Development of an information security management system (ISMS)
- **Editor:** ISO (International Organization for Standardization) and IEC (International Electrotechnical Commission)
- **Application domain / recipients:**
  - Manufacturing industry and service providers
  - Every form of industry and organisation
- **Form of publication:** Print, digital documents (PDF)
- **Several parts (see next slide)**
ISO 27000: The family of ISMS standards

General requirements

27001 Requirements

27002 Guidance on the application of security controls

27003 Implementation guidance

27004 Measurements

27005 Information security risk management

27006 Certification body requirements

27007 Audit guidelines

27011 Telecommunications organizations

27799 Health organizations

Sector-specific guidelines

General guidelines

normative

informative

supports / complements
ISO/IEC 27001 and ISO/IEC 27002

ISO/IEC 27001
• Requirements for an ISMS
• Specification of reference control objectives and controls (Annex A)

ISO/IEC 27002
• Guidance on the application of security controls
• Implementation guidelines on all reference controls
ISO/IEC 19011

Keywords

Auditing management systems, principles of auditing, managing an audit programme, managing and conducting audits, competence and evaluation of auditors
ISO 19011: Overview and key facts

• **Guidelines for auditing management systems**
  
  Subject: Principles and processes of managing an audit programme and conducting management systems audits

  Editor: ISO (International Organization for Standardization)

  Application domain / recipients: Any organisation operating and maintaining a management system (including quality management systems, environmental management systems, service management systems and information security management systems)

  Form of publication: Print, digital documents (PDF)
ISO 19011: Topics

• Topics addressed:
  – Terms and definitions
  – General audit principles
  – Managing an audit programme
  – Performing an audit
  – Competence and evaluation of auditors
Agenda of this training

• FitSM Foundation & Advanced wrap-up
• ITSM-related frameworks and standards

➢ Understanding the organisational context of managing and delivering services
• Leadership and governance
• Planning and implementing services and ITSM (PLAN, DO)
• Monitoring, reviewing and improving services and ITSM (CHECK, ACT)
Understanding the organisational context of managing and delivering services
Challenges in federated IT service provisioning

• Traditional IT service management (ITSM) practices ...
  – assume single central control over all service management processes by one organisation acting as the service provider;
  – hardly address collaborative approaches to service delivery.
• As a result: Applying ITSM in federated environments may be more difficult, and not all concepts / ideas will work.
• Important in a federated environment: Understanding the roles of the federation members (including the roles or “business models” of the federators involved)
## Examples of federator roles ("business models")

<table>
<thead>
<tr>
<th>Role</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Invisible Coordinator</td>
<td>• This party or organisation supports the federation and its members to be capable of providing services to customers.</td>
</tr>
<tr>
<td></td>
<td>• Customers, however, only see the different individual federation members, from which they receive their services.</td>
</tr>
<tr>
<td>Advisor</td>
<td>• Customers mainly see the individual federation members, from which they receive services.</td>
</tr>
<tr>
<td></td>
<td>• One organisation acts as an advisor visible to customers as well, helping them understand the federation and its offerings.</td>
</tr>
<tr>
<td>Matchmaker</td>
<td>• A matchmaker helps customers get the services they want and need by bringing customers and federation members together.</td>
</tr>
<tr>
<td></td>
<td>• Matchmaking means: connecting customer demand with offerings from one or more federation members.</td>
</tr>
<tr>
<td>One Stop Shop</td>
<td>• Customers mainly see the one stop shop where they place their demands in the expectation of getting the “right” services.</td>
</tr>
<tr>
<td></td>
<td>• However, customers realise / know that services are actually provided / delivered by a number of different federation members.</td>
</tr>
<tr>
<td>Integrator</td>
<td>• The integrator represents the whole federation and acts as a logical single service provider for customers.</td>
</tr>
<tr>
<td></td>
<td>• Customers only see and realise the integrator, and are not aware of the individual members of the federation anymore.</td>
</tr>
</tbody>
</table>
Examples of federator roles (“business models”)

Every federation member has to manage their specific services, i.e. ITSM is often highly decentralized, and overall integration / coordination is limited to key process interfaces.

The integrator needs to manage the services offered by the federation, i.e. ITSM is often more centralized, and a high level of coordination effort is required from the integrator.

Invisible Coordinator

Advisor

Matchmaker

One Stop Shop

Integrator

Hotel industry association

Hotel guide, rating portal

Travel agent, booking portal

Airline with code sharing

Virtual mobile phone operator
Defining the scope of service management

GR3 Defining The Scope Of Service Management

REQUIREMENTS

- GR3.1 The scope of the SMS shall be defined and a scope statement created.

- The scope of the SMS may be limited to ...
  - certain services or service catalogues
  - certain technologies
  - certain (geographical) locations
  - certain organisations or parts of organisations
  - certain parts of a federation (in a federated environment)
  - service provision for specific (groups of) customers / users
Defining the scope of service management: Examples of scope statements

• Generic scope statement:

The SMS of [name of the service provider or federation] that delivers [technology] [service(s)] from [service provider location(s)] to [customer(s)] at [customer(s’) location(s)]

• Example:

The SMS of the ACME IT service unit that delivers Microsoft Windows-based desktop and communication services from their data center site in Amsterdam to all ACME business units at locations in The Netherlands
Agenda of this training

• FitSM Foundation & Advanced wrap-up
• ITSM-related frameworks and standards
• Understanding the organisational context of managing and delivering services

➤ Leadership and governance
• Planning and implementing services and ITSM (PLAN, DO)
• Monitoring, reviewing and improving services and ITSM (CHECK, ACT)
Leadership and governance
Leadership and governance: Overview

- Effective policies
- Effective communication
- Governing value-generation through IT services
- Governing risk in ITSM
- Other governance disciplines
  - Governing transparency in ITSM
  - Governing the use of resources for ITSM
  - Governing third party processes
Effective policies

Why?

Ensure that policies are effective in providing direction and enforced.
The role of policies in an SMS

1. Abc def ghijk.
2. Abc def ghijk.
3. Abc def ghijk.
4. Abc def ghijk.

Governance level
Top management
Process owners

Control level
Process managers
Process teams

Operational level
Departments
Functions
Persons

Process:

Policy
1. Abc def ghijk.
2. Abc def ghijk.
3. Abc def ghijk.
4. Abc def ghijk.

Inputs
Activities and roles
Outputs

Person (in a role) applies

Procedures
Policies for ITSM

• General policies, e.g.:
  – Overall service management policy
  – Policy on continual improvement
  – ...

• Process-specific policies, e.g.:
  – Configuration management policy
  – Change management policy
  – Release policy
  – Information security policies
  – ...

Policies for ITSM

• Policies are one of the most important mechanisms for exerting governance (in an organisation / federation and over a management system).

• **The 5 Cs towards effective policies:**
  • Clear: Avoid too generic or ambiguous formulations!
  • Concise: Keep policies as brief as possible!
  • Consistent: Different policies must not contradict each other!
  • Communicated: Policies should be communicated effectively and to relevant target groups!
  • Committed: Those who approve and release policies (e.g. SMS owner, process owners) must be committed to their contents themselves, and enforce adherence to the policies!
Policy enforcement

- Create awareness
- Enable the organisation / federation and its people to act on the policy
  - Transfer of knowledge
  - Provision of resources
  - Motivation
- Monitor conformity
- Detect and follow-up on nonconformity
  - Reasons for nonconformity?
  - Decide on disciplinary measures
Policy enforcement: Exemplary disciplinary measures

<table>
<thead>
<tr>
<th></th>
<th>Unintentional, first time</th>
<th>Unintentional, repeated</th>
<th>Deliberately, first time</th>
<th>Deliberately, repeated</th>
</tr>
</thead>
<tbody>
<tr>
<td>Minor nonconformity (low impact on effectiveness of ITSM)</td>
<td>Message / conversation</td>
<td>Message / conversation; consider topic-related training</td>
<td>Message / conversation; consider motivational measures</td>
<td>Written warning; consider: • motivational measures • re-assignment of responsibilities</td>
</tr>
<tr>
<td>Significant nonconformity (significant impact on effectiveness of ITSM)</td>
<td>Message / conversation, consider topic-related training</td>
<td>Message / conversation; consider: • topic-related training • written warning • re-assignment of responsibilities</td>
<td>Written warning; consider: • motivational measures • re-assignment of responsibilities • Further action</td>
<td>Written warning; consider: • motivational measures • re-assignment of responsibilities</td>
</tr>
</tbody>
</table>
Effective communication

Why?

Ensure that communication is well-planned and carried out, adequate means of communication are chosen and meetings are used effectively.
Effective communication

• Create a communication plan for communicating one or more changes regarding the SMS

• Typical aspects to be considered in communication planning:
  1. Who informs?
  2. Who is informed?
  3. About what? (What is the message / content?)
  4. When and how often? (Timing, frequency)
  5. By which means? (Communication medium)
  6. How is the success of the communication measured?
Choosing adequate means of communication

• Examples of categories of communication media:
  – Mailing, memo
  – Meeting
  – Social event

• Examples of communication channels:
  – Broadcast communication (all)
  – Group communication (some)
  – Individual communication (exactly one)

• Examples of variations of the acknowledgment:
  – No acknowledgment required
  – Acknowledged / approved, if no veto
  – Explicit acknowledgment / approval
Effective use of meetings

• Define the specific purpose and objectives
• Ensure that the meeting content and (technical) level of detail are aligned to the audience
• Define the degree of desired interactivity in a meeting
• Provide an agenda with realistic time planning
• Observe basic rules of communication (including body language, eye contact, active listening, ...)

Are you lonely?
Work on your own?
Hate to make decisions?
Rather talk about it than do it?

Then why not HOLD A MEETING!

You can get to see other people, offload decisions, feel important and impress your colleagues.

MEETINGS – the practical alternative to work!
## Effective use of meetings

### Plan the meeting
- Define the purpose, goals and desired outputs
- Determine the participants
- Organise the logistics (date, time, duration, location)

### Prepare and invite to the meeting
- Communicate purpose, goals and desired outputs to participants
- Provide relevant documentation in advance

### Conduct the meeting
- Moderate discussions
- Resolve conflicts
- Pay attention to timing

### Close the meeting
- Summarize results
- Discuss how to deal with open issues
- Define follow-up actions and distribute tasks
Governing value-generation through IT services

Why?

Ensure that IT services provided to customers are aligned to customers’ needs and effectively support the customers’ business.
Service and value

Definition following FitSM-0:

Service:
A way to provide value to a user / customer through bringing about results that they want to achieve

Note 1: Services usually provide value when taken on their own – unlike the specific service components they are composed of.

Note 2: In the context of the FitSM standard series, when referring to services, usually IT services are meant.

What is the key purpose of the service?

Which additional factors will impact the customers’ service quality / performance perception?

Utility + Warranty = Value
Utility and warranty in focus
based on ITIL

• Utility:
  – Gain in performance (e.g. quicker, better, cheaper, …)
  – Removal of constraints

• Warranty:
  – Sufficient service availability and continuity
  – Sufficient service capacity and performance
  – Sufficient information security

• Utility / warranty effects:
  – Utility increases performance average
  – Warranty reduces performance variation
Creating a business case for a service

- A business case is a conceptual tool to support decision making, often used to justify a significant item of expenditure.

- General recommendations:
  - Create a business case for every service
    - Existing services (already in your portfolio)
    - New services (to be included in your portfolio)
    - Services undergoing major change
  - Keep it simple
  - When defining assumptions, identifying risks and calculating costs consider different scenarios / situations (including: best case, worst case)

- The business case for a service should help understand the value proposition of this service
## Part 1: The customer perspective

| Status quo / current situation (baseline) | Describe the situation without the new or changed service, including potential pain points the service is intended to resolve or unexploited opportunities for the customer(s). |
| Expected customer and user benefits / value proposition | Describe how the new or changed service alleviates specific user pains and/or supports its intended customer(s) to exploit new opportunities. |

## Part 2: The service provider perspective

<table>
<thead>
<tr>
<th></th>
<th>Best case</th>
<th>Expected case</th>
<th>Worst case</th>
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<tbody>
<tr>
<td>Demand assessment</td>
<td></td>
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<tr>
<td>Assumptions and constraints</td>
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<tr>
<td>Expected organisational impact on the service provider</td>
<td></td>
<td></td>
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<tr>
<td>Expected financial impact</td>
<td>Expenses</td>
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<td></td>
<td>Revenue</td>
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<td></td>
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<tr>
<td>Risks</td>
<td></td>
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</tr>
</tbody>
</table>
Creating a business case for a service: Financial impact

• Expenses: Consider the total cost of ownership, i.e.:
  – Direct and indirect costs for the service
  – Variable and fixed costs
  – Cost types and accounts
  – Apportioning of shared costs to the service
  – Costs through all service lifecycle phases (including design, development, operation and removal from operation)

• Returns: Consider any income, e.g. from …
  – Charging
  – Funding
Creating a business case for a service: Constraints (limiting factors)

- Legal requirements / constraints, including regulation
- Contractual requirements / constraints
- Policies
- Any other forms of compliance / conformity issues
- Monetary requirements / constraints
- People / staffing / competence requirements / constraints
- Any other resource constraints
Governing and managing risk in ITSM

Why?

Ensure that risks connected to planning, delivering, operating and controlling IT services are effectively identified, assessed and treated.
• Main risk categories to be addressed by an SMS:
  – Risks connected to the availability and continuity of IT services
  – Risks connected to information security

• Risk governance vs. risk management:
  – Governing risk:
    • Defining criteria for risk analysis, evaluation and acceptance
    • Assigning risk owners
    • Sign-off of accepted (residual) risks
  – Managing risk:
    • Maintaining information on risk factors
    • Identifying, analysing and evaluating risks
    • Planning and implementing measures for risk treatment
    • Reviewing and monitoring risks and measures
Risk management: Disciplines and dependencies

Risk management

Risk assessment

Identification → Analysis → Evaluation

Risk

Sources of information

Probability? Impact? Resulting level of risk?

Risk acceptance criteria

Case 1: Risk is acceptable

Risk acceptance (retention)

Accepted risk

Case 2: Risk is not acceptable

Risk modification

Residual risk

Other treatment options
Risk management: Steps and outputs

- **Risk identification**
  - Assets
  - Vulnerabilities
  - Threats

- **Risk assessment**
  - Risk identification
  - Risk analysis
  - Risk evaluation

- **Risk treatment**
  - Acceptance
  - Modification
  - Avoidance
  - Sharing
  - Mitigation plan
  - Contingency plan

- Evaluated risk
- Analysed risk
- Risk

FitSM
Other governance disciplines

Why?

Ensure that IT service management is transparent, systematic and reproducible, the use of resources is optimized, and processes operated by other parties are under control.
Governing transparency in ITSM

• Service management system with clear policies, processes and procedures
• Documentation and recording
• Effective reporting of all key activities, according to defined lines of reporting
• Identification of nonconformities through (internal) audits
Governing the optimal use of resources for ITSM

• Key resources in ITSM:
  – Human resources
  – Technology to support ITSM
  – External resources, such as required consultancy and auditing
Governing third party processes

• Third parties in this context:
  – External suppliers / partners
  – Customers

• Approach:
  – Identify the processes or parts of processes that are performed by third parties
  – Govern the third party in performing the process by ...
    • demonstrating accountability for the process and authority to require adherence to it;
    • controlling the process definition and interfaces;
    • controlling improvements to the process;
    • monitoring process performance and compliance.
Agenda of this training

• FitSM Foundation & Advanced wrap-up
• ITSM-related frameworks and standards
• Understanding the organisational context of managing and delivering services
• Leadership and governance
  ➢ Planning and implementing services and ITSM (PLAN, DO)
• Monitoring, reviewing and improving services and ITSM (CHECK, ACT)
Planning and implementing ITSM
(PLAN, DO)
Planning and implementing ITSM: Overview

• Requirements according to FitSM-1
• Creating and maintaining a service management plan
• Defining and assigning roles and responsibilities
• ITSM training and awareness
• Managing organisational change
• Planning and implementing new or changed services
# Planning and implementing ITSM: Requirements according to FitSM-1

## GR4 Planning Service Management (PLAN)

**REQUIREMENTS**

- **GR4.1** A service management plan shall be created and maintained.
- **GR4.2** The service management plan shall at minimum include or reference:
  - Goals and timing of implementing the SMS and the related processes
  - Overall roles and responsibilities
  - Required training and awareness activities
  - Required technology (tools) to support the SMS
- **GR4.3** Any plan shall be aligned to other plans and the overall service management plan.

## GR5 Implementing Service Management (DO)

**REQUIREMENTS**

- **GR5.1** The service management plan shall be implemented.
- **GR5.2** Within the scope of the SMS, the defined service management processes shall be followed in practice, and their application, together with the adherence to related policies and procedures, shall be enforced.
Creating and maintaining a service management plan

Keywords
Service management plan, goals
Service management plan

Definition following FitSM-0:

Service management plan:
Overall plan for implementing and operating a service management system (SMS)

• Possible general structure of a service management plan:
  1. Status quo of the SMS (e.g. based on self-assessment, reviews, audits)
  2. Overall goals for the period covered by the plan, including:
     • Identification of focus areas / high-priority topics
     • Definition of milestones and timing for achieving goals
  3. Overview of current and future ITSM-related core roles and responsibilities
  4. Overview of planned ITSM-related training and awareness activities
  5. Overview of the current and future tool support for ITSM
  6. Overview of work packages and tasks
  7. References to other relevant plans (including task-specific plans)
• Extend the scope of the configuration management process all CIs supporting service components
• Apply the change management process to all CIs (including those new in the scope of configuration management)
• Conduct annual service reviews with all customers through the customer relationship management process
• Reduce the number of SLA violations by 30 per cent
• Harmonise the service specifications in the service portfolio (by applying a consistent specification template)
• Increase the number of internal SMS audits from 2 to 4
• Improve the documentation quality of known errors and workarounds in the known error database (KEDB) by establishing a four-eyes principle for new entries and monthly reviews of all entries
• ...
Defining and assigning roles and responsibilities

Keywords

Generic and specific roles, allocation of responsibilities, RACI
## Roles and responsibilities: Generic and specific roles

<table>
<thead>
<tr>
<th>Description</th>
<th>ITSM example</th>
<th>Non-ITSM example</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Generic role</strong></td>
<td>A conceptual class of role which is instantiated in a specific context to create a specific role</td>
<td>Process manager</td>
</tr>
<tr>
<td><strong>Specific role</strong></td>
<td>A concrete role which can be assigned to a person or team in order to give this person or team the responsibility for something</td>
<td>Incident manager (process manager for the incident and service request management process) of an IT service provider</td>
</tr>
</tbody>
</table>
Generic roles
according to FitSM-3

- SMS owner
- SMS manager
- Process owner (optional)
- Process manager
- Case owner
- Member of process staff
- Service owner
Visualization of the role model according to FitSM-3
The RACI matrix is a tool to describe roles and responsibilities within a specific context in a simplified and easy to grasp manner.

<table>
<thead>
<tr>
<th>Activity 1</th>
<th>Activity 2</th>
<th>Activity 3</th>
<th>...</th>
</tr>
</thead>
<tbody>
<tr>
<td>Role 1</td>
<td>Role 2</td>
<td>Role 3</td>
<td>...</td>
</tr>
<tr>
<td>A</td>
<td>R</td>
<td>I</td>
<td></td>
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<tr>
<td>AI</td>
<td>C</td>
<td>R</td>
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<tr>
<td>AC</td>
<td>R</td>
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<tr>
<td>...</td>
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</tbody>
</table>
RACI: Explanation

- The four letters R, A, C and I stand for the various generic forms of responsibility or participation:
  - Responsible: A person or role actually executing / performing / carrying out a process or activity
  - Accountable: The person or role governing a process or activity by defining and approving goals and providing or acquiring resources and capabilities required so that the process or activity can be carried out effectively
  - Consulted: A person or role whose expertise or other kind of contribution is needed to carry out a process or activity without this person being responsible for the process or activity him-/herself
  - Informed: A person or role who needs to be kept informed about the status and/or results of a process or activity
RACI: Rules

• Every row should contain exactly one “A”.
  – The rationale behind this rule is that there should be clear accountability for every activity.
  – At the same time, it might lead to confusion and lack of individual commitment or enforceability, if two or more persons or roles are accountable at the same point in time.

• Every row should contain at least one “R”.
  – There should be no activities for which the responsibilities of executing them are undefined.

• It should be avoided that the same person or role is accountable and responsible at the same time, i.e. for the same activity.
Potential carriers of responsibility in an organisation or federation

- **Function**: number of people, resources and tools supporting a process or an activity
- **Department**: part of the organizational hierarchy of a company/organization
- **Group**: people performing similar activities
- **Team**: formal group, directed towards the achievement of one or more defined objectives
- **Role**: logical concept that relates responsibilities, activities or behaviours to a person, a team, a group, or a function
ITSM training and awareness

Keywords

ITSM training and awareness program, role-based training, managing competencies
ITSM training and awareness

- Success factors of ITSM:
  - People
  - Processes
  - Technology

- Enable people by effective means of ...
  - Awareness (Why?)
  - Role-based education and training (How?)
    - Technical skills
    - Personal skills / soft skills
    - Experience

- Manage competencies by ...
  - setting up a training and awareness program (annual update, part of the service management plan);
  - maintaining chronological records on competence, education, training and experience.
Managing organisational change

Keywords
Emotional cycle of change, steps to successful organisational transformation, dos and don’ts of organisational change
Emotional cycle of change

Performance

Shock

Avoidance

External blame

Self-blame

Acceptance

Optimal performance

Time

Organisational change required / planned

Organisational change management required

Organisational change effectively implemented
Steps to organisational transformation according to Kotter and Schlesinger

1. Create a sense of urgency
2. Establish a guiding coalition
3. Develop a vision and strategy
4. Communicate the vision
5. Empower people to act on the vision
6. Create quick-wins
7. Consolidate achievements and create more change
8. Institutionalize the organisational change in the organisation’s culture
1. Create a sense of urgency

**What to do (core challenge):**
- Get people out of the bunker
- Create initial awareness and organisational readiness

**What to achieve (desired behaviour / situation):**
- People start talking about it and motivating each other

**What to avoid (risks):**
- No (clear) commitment from top management
- Lip services and smoke grenades

**How to move it forward (recommended actions):**
- Update policies and plans
- Start communicating
2. Establish a guiding coalition

What to do (core challenge):
- Get the right people in place
- Ensure they are committed to the change and respected by others

What to achieve (desired behaviour / situation):
- A powerful group influences others to accept the change
- Opposing to the change means being against the coalition

What to avoid (risks):
- Lack of trust and confidence in the coalition

How to move it forward (recommended actions):
- Identify skilled and respected individuals from major stakeholder groups
3. Develop a vision and strategy

What to do (core challenge):
- Get the guiding coalition to develop a clear vision and strategy
- As part of the strategy, address the people factor

What to achieve (desired behaviour / situation):
- A clear vision and strategy has been developed by the guiding team

What to avoid (risks):
- Only focus on numbers (finance) and technology
- Too much consultant speak, too little concrete orientation

How to move it forward (recommended actions):
- Set up a strategic plan taking into account the people, process and technology factors
4. Communicate the vision

What to do (core challenge):
• Address all relevant stakeholder groups and make them become a part of the organisational change

What to achieve (desired behaviour / situation):
• People start buying in to the change and behave accordingly

What to avoid (risks):
• Too little, too late communication
• Communication not well aligned to the needs of the audience

How to move it forward (recommended actions):
• Set up a communication plan, based on stakeholder identification
• Communicate according to the plan
5. Empower people to act on the vision

What to do (core challenge):
- Remove the obstacles that would stop people from acting towards the vision

What to achieve (desired behaviour / situation):
- More people feel able to act on the vision

What to avoid (risks):
- Too many (notorious) objection raisers left exerting influence on others

How to move it forward (recommended actions):
- Launch an awareness campaign, motivate people
- Provide professional training (role-based)
6. Create quick-wins

What to do (core challenge):
• Produce enough short-term achievements quickly enough to energize and motivate the change helpers, enlighten pessimists and build momentum

What to achieve (desired behaviour / situation):
• Momentum builds, while fewer people resist the organisational change
• Cynics and pessimists are defused

What to avoid (risks):
• Quick-wins, although they have been achieved, are not visible enough

How to move it forward (recommended actions):
• Prioritize tasks in support of quick-wins
• As soon as achievements have been realised, communicate broadly
7. Consolidate achievements and create more change

What to do (core challenge):
• Continue with the same energy and effort after first achievements have been made

What to achieve (desired behaviour / situation):
• People remain motivated and energized
• Further change is pushed forward towards the overall vision

What to avoid (risks):
• The momentum gets lost, people rest on their laurels
• Resources are taken away after high-priority quick-wins were achieved

How to move it forward (recommended actions):
• Keep up top management commitment and involvement
• Keep up planning and communicating
8. Institutionalize the organisational change

What to do (core challenge):
• Create effective supporting structures as the roots for new ways of operating

What to achieve (desired behaviour / situation):
• New behaviour continues

What to avoid (risks):
• Fall-back to “old traditions”

How to move it forward (recommended actions):
• Refresh awareness from time to time
• Monitor, evaluate and further improve on an ongoing basis
Dos and don’ts of organisational change

**Do**
- Understand the baseline and vision
- Communicate effectively
- Identify impacts
- Get stakeholders to participate in decision-making
- Put the right people in the right roles
- Provide easy access to relevant information

**Don’t**
- Micro-manage everything
- Try to achieve consensus for every decision
- Only focus on technology
- Over-complicate things
- Pretend there are no risks / difficulties / losers
- Ignore after-effects of failed changes to people
Planning and implementing new or changed services

Keywords

Service design and transition package (SDTP), service acceptance criteria
Planning new or changed services: Requirements according to FitSM-1

PR1 Service Portfolio Management (SPM)

REQUIREMENTS

- (…)
- PR1.2 Design and transition of new or changed services shall be planned.
- PR1.3 Plans for the design and transition of new or changed services shall consider timescales, responsibilities, new or changed technology, communication and service acceptance criteria.
- (…)

• Important facts:
  – The design and transition of new or changed services is coordinated under the control of the service portfolio management process.
  – Plans for a new or changed service should be “bundled” into a service design and transition package (SDTP)
Planning new or changed services: Service design and transition package (SDTP)

**Definition following FitSM-0:**

Service design and transition package (SDTP):
Entirety of plans for the design and transition of a specific new or changed service

*Note: A service design and transition package should be produced for every new or changed service. It may consist of a number of documented plans and other relevant information, available in different formats, including a list of requirements and service acceptance criteria (SAC), a project plan, communication and training plans, technical plans and specifications, resource plans, development and deployment schedules / timetables etc.*

• Relationships between the SDTP and a business case:
  – The SDTP may be based on the information from a business case for a new or changed service.
  – The business case should be referenced from the SDTP.
### Possible structure of a service design and transition package (SDTP)

<table>
<thead>
<tr>
<th>(Reference to) business case</th>
<th><em>(see section “Creating a business case for a service”)</em></th>
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</thead>
<tbody>
<tr>
<td><strong>Service requirements</strong></td>
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<tr>
<td>Functional requirements</td>
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<tr>
<td>Usability-related requirements</td>
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<td>...</td>
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<tr>
<td><strong>Service architecture</strong></td>
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<td>Enabling service components</td>
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<tr>
<td>Enhancing service components</td>
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<tr>
<td><strong>Service acceptance criteria (SAC)</strong></td>
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<tr>
<td>Functional criteria</td>
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<td>Usability-related criteria</td>
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<tr>
<td><strong>Service transition plan(s)</strong></td>
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<tr>
<td>Communication plan</td>
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<td>Development and deployment plan</td>
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</table>
Why service requirements & service acceptance criteria?

• Create a common understanding between the service provider and customers / other stakeholders of expectations regarding the new / changed service.

• Avoid conflicts between the service provider and customers / other stakeholders by clearly stating the conditions under which the new or changed service is deployed into the live environment.

• Create Basis for quality assurance during the design and transition phase.
Typical categories of service requirements & service acceptance criteria

- Functional
- Technical
- Information security and data protection-related
- Usability-related
- Organisational
- Availability, continuity and performance-related
Agenda of this training

- FitSM Foundation & Advanced wrap-up
- ITSM-related frameworks and standards
- Understanding the organisational context of managing and delivering services
- Leadership and governance
- Planning and implementing services and ITSM (PLAN, DO)
  - Monitoring, reviewing and improving services and ITSM (CHECK, ACT)
Monitoring, reviewing and improving ITSM (CHECK, ACT)
Monitoring, reviewing and improving ITSM: Overview

• Requirements according to FitSM-1
• Compliance, effectiveness and efficiency
• Key performance indicators
• Managing an audit programme and conducting audits
• Capability and maturity assessment
Planning and implementing ITSM: Requirements according to FitSM-1

**GR6 Monitoring And Reviewing Service Management (CHECK)**

**REQUIREMENTS**

- GR6.1 The effectiveness and performance of the SMS and its service management processes shall be measured and evaluated based on suitable key performance indicators in support of defined or agreed targets.
- GR6.2 Assessments and audits of the SMS shall be conducted to evaluate the level of maturity and compliance.

**GR7 Continually Improving Service Management (ACT)**

**REQUIREMENTS**

- GR7.1 Nonconformities and deviations from targets shall be identified and corrective actions shall be taken to prevent them from recurring.
- GR7.2 Improvements shall be planned and implemented according to the Continual Service Improvement Management process (see PR14).
Compliance, effectiveness and efficiency

Keywords

Compliance / conformity, effectiveness and efficiency,
Compliance, effectiveness and efficiency

• **Compliance (conformity):**
  – Question: Are requirements fulfilled and specifications met?
  – Examples for sources of requirements: legislation, policies, defined processes and procedures, ...

• **Effectiveness:**
  – Question: Are intended goals / objectives achieved?
  – Examples of goals to be achieved: service level targets (from SLAs), operational targets (from OLAs), process goals, ...

• **Efficiency:**
  – Question: Given the achieved level of effectiveness, is the level of consumption of resources appropriate?
  – Examples of resources: financial resources (money), human resources (manpower), technical resources (capacities), ...
Compliance, effectiveness and efficiency

**Compliance (conformity)**
- Policies providing overall direction and rules are adhered to.
- Processes and procedures are carried out according to specifications in practice.

**Effectiveness**
- Goals connected to policies and processes are actually achieved.
- Services are provided according to agreed SLAs.

**Efficiency**
- The consumption of financial, human and technical resources is being monitored, evaluated and optimized.
- Resource consumption is appropriate for the achieved level of effectiveness.
Example: Car wash

<table>
<thead>
<tr>
<th>Compliance (conformity)</th>
<th>Effectiveness</th>
<th>Efficiency</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Does the car match the allowed specifications of the car wash facilities?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Does the car driver follow the instructions provided by the car wash company?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Does the operator of the car wash facilities push the right buttons?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Has the car been cleaned and all soiling removed to a degree sufficient from the car owner’s perspective?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Given the achieved level of cleanliness, is the amount of water, chemicals, energy, manpower and time consumed appropriate?</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Compliance vs. conformity

• Sometimes, compliance and conformity are separated (see: COBIT):
  – **Conformity**: Adherence to internal regulations and requirements, such as they are defined by ...
    • Policies
    • Processes
    • Procedures
  – **Compliance**: Adherence to external requirements, such as:
    • Laws
    • Standards
    • Contracts
Key performance indicators

Keywords

SMART measurements, critical success factors (CSFs) and key performance indicators (KPIs)
SMART measurements

**Definition following FitSM-0:**

Key performance indicator (KPI):
- Metric that is used to track the performance, effectiveness or efficiency of a service or process

- **SMART KPIs:**
  - **Specific:** targeting an area of improvement, indicative of the level achievement of of a *critical success factor*
  - **Measurable:** defined way measure and/or calculate the KPI
  - **Achievable:** target areas for KPIs are achievable
  - **Relevant:** matters, unexpected results warrant further investigation
  - **Time-framed:** has defined measurement interval

- **Critical success factors (CSFs):** Limited number of factors, representing the key areas, where “things must go right”, for overall goals to be attained*

Example: CSF and KPI

**Critical success factor** for the process of incident and service request management (ISRM): Sufficient staffing so that incidents can be resolved within the allowed resolution time according to agreed SLAs.

**Connected KPI:** Percentage of incidents where the time to resolution exceeded the maximum allowed resolution time according to SLAs (i.e. one or more SLAs have been violated).
## Example (continued)

<table>
<thead>
<tr>
<th>Month</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jan</td>
<td>20%</td>
</tr>
<tr>
<td>Feb</td>
<td>19%</td>
</tr>
<tr>
<td>Mar</td>
<td>19%</td>
</tr>
<tr>
<td>Apr</td>
<td>17%</td>
</tr>
<tr>
<td>May</td>
<td>16%</td>
</tr>
<tr>
<td>Jun</td>
<td>11%</td>
</tr>
<tr>
<td>Jul</td>
<td>8%</td>
</tr>
<tr>
<td>Aug</td>
<td>3%</td>
</tr>
<tr>
<td>Sep</td>
<td>4%</td>
</tr>
<tr>
<td>Oct</td>
<td>5%</td>
</tr>
<tr>
<td>Nov</td>
<td>5%</td>
</tr>
<tr>
<td>Dec</td>
<td>5%</td>
</tr>
</tbody>
</table>

**KPI:** Percentage of incidents where the time to resolution exceeded the maximum allowed resolution time according to SLAs (i.e. one or more SLAs have been violated).

Based on these numbers, what would be valid conclusions?
Managing an audit programme and conducting audits

Keywords
Audit-related terminology, principles of auditing, audit types, internal vs. external audits, managing an audit programme, conducting an audit
Terms defined in ISO 19011

- Audit
- Audit criteria
- Audit evidence
- Audit findings
- Audit conclusion
- Audit client
- Auditee
- Auditor
- Audit team
- Technical expert
- Observer
- Guide
- Audit programme
- Audit scope
- Audit plan
- Risk
- Competence
- Conformity
- Nonconformity
- Management system
What is an audit?

An **audit** is a …

- systematic, independent and documented process
- obtaining audit evidence and evaluating it objectively
- determine the extent to which the audit criteria are fulfilled.

Major points to be considered when preparing and conducting an audit:

- Systematic = clear audit plan
- Independent = auditor does not audit his/her own work
- Documented = defined process + records of audit activities performed
- Obtain audit evidence = documentation reviews + interviews + observation
- Evaluate audit evidence = make findings
- Determine the extent to which audit criteria are fulfilled = draw conclusions
Principles of auditing

- Integrity
- Fair presentation
- Due professional care
- Evidence-based approach
- Independence
- Confidentiality
Audit types

- System audit
- Process audit
- Product audit
Internal and external audits

• Internal audit:
  – Conducted under the direct responsibility and control of an organisation or federation within their own boundaries

• External audit:
  – Conducted under the responsibility and control of an external organisation
Managing an audit programme according to ISO 19011

Establishing the audit programme objectives

Establishing the audit programme
- Roles and responsibilities
- Competence of the AP manager
- Extent
- Risks
- Procedures
- Resources

Implementing the audit programme
- Objectives, scope and criteria for individual audits
- Audit methods
- Audit team members
- Audit activities
- Records

Monitoring the audit programme

Improving the audit programme

(Section 5.2)
(Section 5.3)
(Section 5.4)
(Section 5.5)
(Section 5.6)
Performing an audit according to ISO 19011

- Initiating the audit
- Preparing audit activities
- Conducting the audit activities
- Preparing and distributing the audit report
- Completing the audit

Audit follow-up

(Section 6.2)
(Section 6.3)
(Section 6.4)
(Section 6.5)
(Section 6.6)
(Section 6.7)
Initiating the audit

- Establish initial contact with the auditee
  - Contact may be formal or informal
  - Responsible: lead auditor (audit team member)

- Determine the feasibility of the audit
  - Sufficient and appropriate information for planning and conducting the audit?
  - Adequate cooperation from the auditee?
  - Sufficient time and resources?
Preparing the audit activities

- Perform document review in preparation for the audit
  - Documentation of the management system (e.g. policies, process descriptions)
  - Records of activities performed
- Assign work to the audit team
  - Define and assign roles in the audit team
  - Consider the level of competence and experience of each auditor when assigning work
- Create an audit plan (see next slide)
- Prepare working documents
Preparing the audit activities

- Roles in an audit team:
  - (Lead) auditor
  - (Co-/) auditor
  - Technical expert (person who provides specific knowledge or expertise to the audit team)
Preparing the audit activities

- Typical contents of an audit plan:
  - Audit objectives
  - Audit scope
  - Audit criteria
  - Logistics (locations, dates, times) of audit activities
  - Audit methods to be used
  - Roles and responsibilities of the audit team members

- Examples of working documents:
  - Checklists
  - Forms to record audit evidence (including minutes of interviews) and findings
Conducting the audit activities

• Overview of audit activities:
  – Conduct the opening meeting
  – Assign roles of guides and observers
  – Collect and verify information / audit evidence
  – Generate audit findings
  – Prepare audit conclusions
  – Conduct the closing meeting
Conducting the audit activities

- Methods of collecting and verifying information / audit evidence:
  - On-site document reviews
    - Focus: Completeness, correctness, consistency and currentness of documentation
    - Important: Adequate sampling
  - Interviews
    - Ensure availability of the “right” persons
    - Carefully select questioning techniques (e.g. open vs. closed questions)
  - Observations of facts
Conducting the audit activities

- Collecting information
- Audit evidence
- Evaluation against audit criteria
- Audit findings
- Review based on audit objectives
- Audit conclusions

Flowchart:

1. Initiation
2. Preparation
3. Audit activities
4. Audit report
5. Completion
6. Follow-up actions
• Typical contents of an audit report:
  – Audit objectives
  – Audit scope
  – Audit criteria
  – Identification of the audit client, audit team and auditees’s participants in the audit
  – Locations, dates and times of performed audit activities
  – Audit findings
  – Audit conclusions
  – Statement on the degree to which audit criteria were fulfilled
Completing the audit

- The audit is completed after all planned audit activities have been carried out.
- Disclosure of documentation and information obtained during the audit remains a duty of the audit team.
- In the case of audits conducted by external auditors, the audit report is “owned” by the audit client.
Capability and maturity assessment

Keywords

Capability and maturity levels, task- and output-related capabilities
During a maturity assessment, aspects of effectiveness, efficiency and compliance / conformity are usually regarded together.
A typical maturity model

Maturity Level 1: Ad-hoc

Maturity Level 2: Repeatable

Maturity Level 3: Defined

Maturity Level 4: Managed
Maturity vs. capability

Capability:
• How good / effective are you at a single process or activity?
• How complete / consistent / well-maintained is a specific output?

Maturity:
• How good / effective is your overall management system, based on the specific capabilities in each process?

There are two different general categories of capability:
• Task capability
• Output capability
### Capability levels for tasks

<table>
<thead>
<tr>
<th>Level</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 – Unaware</td>
<td>No awareness of the task, significant lack of understanding</td>
</tr>
<tr>
<td>1 – Ad-hoc</td>
<td>Aware of the task, but execution is uncontrolled and reactive, responsibilities are not always clear and outcome varies depending on individual efforts.</td>
</tr>
<tr>
<td>2 – Repeatable</td>
<td>The task is performed in a way that the intended outcomes are repeatedly achieved most of the time. Responsibilities are generally understood, and activities performed follow an intuitive understanding of how to fulfil them, but this may vary from individual to individual. There is insufficient documentation to support consistent achievement of desired goals, such as documented roles and procedures.</td>
</tr>
<tr>
<td>3 – Defined</td>
<td>Roles and responsibilities are clearly defined. Documentation, such as roles, procedures and templates is sufficient to support consistent achievement of desired goals. However, process compliance, effectiveness and efficiency are not comprehensively measured and audited to support a structured approach to continual improvement.</td>
</tr>
<tr>
<td>4 – Managed</td>
<td>The effectiveness of the service management activities is measured and monitored based on meaningful performance indicators. Nonconformities are detected by regular reviews and audits. Any nonconformity or lack of effectiveness is evaluated and used as an input for continual improvement.</td>
</tr>
</tbody>
</table>
## Capability levels for outputs

<table>
<thead>
<tr>
<th>Level</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 – Non-existent</td>
<td>The required output (e.g. documentation) does not exist. / The intended achievement has not been reached.</td>
</tr>
<tr>
<td>1 – Initial</td>
<td>Some parts of the required output / achievement have been produced / reached. However, core elements are missing.</td>
</tr>
<tr>
<td>2 – Partial</td>
<td>Most of the core elements of the required output have been achieved, but still the output is not complete.</td>
</tr>
<tr>
<td>3 – Complete</td>
<td>The required output has been achieved, and all required elements have been considered.</td>
</tr>
<tr>
<td>4 – Aligned</td>
<td>The required output is clearly and visibly aligned to other outputs / elements of the service management system, i.e. a high level of consistency and compatibility has been reached (e.g. documents contain references to other documented information).</td>
</tr>
</tbody>
</table>
FitSM-6: Maturity and capability assessment scheme

• FitSM-6 is an easy-to-use tool (Excel-based) to assess the maturity level of ITSM processes in a specific context of application

• Per requirement in FitSM-1: State descriptions for each of the capability levels (except levels 0 and 4) – for the specific context of the given requirement
Management reviews

Keywords

Reviewing the adequacy, conformity, effectiveness and efficiency of the service management system (SMS)
Management reviews: Requirements according to FitSM-1

GR1 Top Management Commitment & Responsibility

**REQUIREMENTS**

- GR1.1 Top management of the organisation(s) involved in the delivery of services shall show evidence that they are committed to planning, implementing, operating, monitoring, reviewing, and improving the service management system (SMS) and services. They shall:
  - (…)
  - Conduct management reviews at planned intervals
- (…)

- **What is a management review?**
  - Regular (often annual) review of the SMS by the SMS owner or another member of top management
  - **Key questions:**
    - Are policies and processes adequate and purposeful?
    - Which level of conformity has been achieved?
    - Is the SMS effective and efficient in its practical application?
Management reviews: Inputs

- Customer feedback
- Information on service and process performance and compliance
- Current and forecast demand of resources and capabilities
- Results from recent risk assessments
- Results and follow-up actions from audits
- Results and follow-up actions from previous management reviews
- Information on changes that could potentially affect the SMS and the services
- Already identified opportunities for improvement
Management reviews: Outputs

• Record / report of the management review, including:
  – Overall assessment of the SMS
  – Identification of focal areas for improvement
• Plan(s) of follow-up actions
• Changes on the governance level, including:
  – New or changed policies
  – Changes in the provision / allocation of resources
• Communication plan(s)
Annex: Exam format
General:
- The exam is closed book, i.e. no aids are allowed.
- The exam consists of 30 multiple-choice questions.
- Each question comes with six possible answers.
- Each of these answers may either be true or false.

Instructions:
- Please mark every correct answer with a cross in the column labelled "True" and each incorrect answer with a cross in the column labelled "False".
- You may decide not to mark any of the two options for a given question.

The time allowed for completing this exam is 75 minutes.
FitSM Expert exam format

• Evaluation:
  – For each correct mark, you receive 1 point which is added to the total score for the respective question.
  – For each incorrect mark, 1 point is deducted from the question's total score.
  – For each answer which is left unmarked, 0 points are added or deducted.
  – The maximum score per question is 6 points.
  – The minimum score per question is 0 points, even if the number of incorrect marks is higher than the number of correct marks for this question (no negative question total scores).
  – The maximum number of total points that can be achieved for this exam is 180. If you obtain 135 points (75 per cent of the maximum score) or more, the exam is passed.
## Sample Question

<table>
<thead>
<tr>
<th>True</th>
<th>False</th>
<th>Which of these cities are located in Europe?</th>
</tr>
</thead>
<tbody>
<tr>
<td>✗</td>
<td></td>
<td>Paris</td>
</tr>
<tr>
<td>✗</td>
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<td>Barcelona</td>
</tr>
<tr>
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<td>✗</td>
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<tr>
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<tr>
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<td></td>
<td>Munich</td>
</tr>
<tr>
<td>✗</td>
<td></td>
<td>Helsinki</td>
</tr>
</tbody>
</table>

All marks correct

→ Resulting total score for this question: 6 points
### Sample Question

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<tr>
<td>✗</td>
<td></td>
<td>Helsinki</td>
</tr>
</tbody>
</table>

4 correct marks (+4 points) and 2 incorrect marks (-2 points)

→ Resulting total score for this question: 2 points
### Sample Question

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</tr>
<tr>
<td></td>
<td></td>
<td>Helsinki</td>
</tr>
</tbody>
</table>

3 correct marks (+3 points), 1 incorrect mark (-1 point) and 2 answers unmarked (+/-0 points) → Resulting total score for this question: 2 points
Sample Question

<table>
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<th>False</th>
<th>Which of these cities are located in Europe?</th>
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</tr>
<tr>
<td>✗</td>
<td>Helsinki</td>
<td></td>
</tr>
</tbody>
</table>

2 correct marks (+2 points) and 4 incorrect marks (-4 points)

→ Resulting total score for this question: 0 points