Excerpt

ITSM Processes of

Continual Service Improvement

according to ITIL® 2011

.... the processes ....
.... the tasks ....
.... the roles ....
.... the responsibilities ....
.... the involved parties ....
Continual Service Improvement according to ITIL® 2011

This ebook is the 5th volume of our series „ITSM Processes according to ITIL® 2011“ based upon the well known ITIL® 2011 Process Library from Dipl.-Ing. Walter Abel Management Consulting. This ebook series describes the processes of IT Service Management in the leading process management tool Signavio Process Editor notated in BPMN 2.0. The content results from the experience of nearly 20 years of practice in successful implementing ITSM projects.

We want to provide a process oriented guide of the complex topic of ITIL® 2011 by this ebook that

- avoids the awful evaluation of necessary processes in the beginning of your IT Service Management project
- provides a completeness check of your planned process model
- shows the internal and external interfaces of IT Service Management

and thus accelerates your project remarkably and saves costs also (especially external consulting costs).

The purpose of this ebook is not provision of theoretical knowledge but shows the experience of numerous implementations of process oriented IT Service Management from practice. From the perspective of the ITIL® standard all subtopics have more or less the same priority - practice shows a different picture. We have built our process library described in this publication exactly to practical considerations, practical relevance has the primary focus.

Each process is described by

- its process diagram
- its subprocesses (within interface diagrams)
- its tasks (within process diagrams)
- involved organizational units
- involved roles
- involved IT systems

The glossary at the end of the document outlines detailed descriptions of

- process documents
- involved organizational units
- involved roles
- involved IT systems

and provides checklists to key topics.

And now i wish you a fruitful and interesting reading!

Yours

Dipl.-Ing. Walter Abel
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Some process pictures are of greater size than A4 for readability purposes. Hence you have to activate poster printing on your printer when printing these process pictures. This will allow to print them distributed to more than one sheet.
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2 The novelties within ITIL® V3 revision 2011

Since the publication of the ITIL® V3 more than 500 improvement proposals (changes and completion) for the roles, processes and interfaces have been provided from the users and the training organizations as well. This has been major input for the description of the IT Service life cycle. Requirements from the Sarbanes - Oxley Act (SOX) have been added thus providing improved transparency of the processes. Outsourcing and cloud strategies have been requiring enhanced security management with tightened control and documentation duties.

Roles, interfaces, inputs and outputs have been harmonized within the five publications, errors and inconsistencies in text and graphics have been removed. Hence the edition 2011 is more easy to read, control, translate, implement and communicate.

The ITIL® 2011 edition is available in English printing since the end of July 2011. A German translation is available since April 2013.

The changes in detail

Service Strategy

Main issue of the update was an increased comprehensibility of this ITIL® discipline. New processes have been added:

- Strategy Management for IT Services (Development and maintenance of the IT Service Strategy, harmonization with the business strategy)
- Business Relationship Management
- Demand Management

The process Financial Management has been enhanced.

Service Design

Main issue is the clarification of the integration into Service Strategy to ensure the strategic and customer oriented requirements. This is represented within the processes and management activities in the Service Design by the new process of Design Coordination. Another important improvement of the comprehensibility regards the 5 aspects of service quality

- Design of tools for service management
- Service portfolio and Service Catalogue
- Architecture for services and tools of service management
- Processes
- Measurements (performance indicators and methods of measurement).
Continual Service Improvement according to ITIL® 2011

Service Transition

The structure, content and relations of the Configuration Management System (CMS) and the Service Knowledge Management System (SKMS) have been described in more detail. New is the Change Proposal and its usage. The scope of the evaluation process, now renamed to Change Evaluation, has been enhanced. The asset management is now enhanced within Service Asset and Configuration Management. The processes

- Change Management
- Change Evaluation
- Release and Deployment Management

are integrated in more detail.

Service Operation

Most of the processes have been actualized and complemented, especially

- Event Management (especially rules and methods for automated caption and analysis)
- Problem Management (especially proactive Problem Management)
- Access Management
- Request Fulfillment (request models).

Application Management has been distinguished better from Application Development and the correlation has been explained. Further clarifications have been introduced with the techniques of problem analysis, procedures for Incident Matching and escalation of incidents to Problem Management. Furthermore the description of the management of physical infrastructure (Facility Management) has been broadened.

Continual Service Improvement

A special focus was given to the documentation of the interfaces of Continual Service Improvement to the other life cycle phases. The 7 step improvement process

- what has to be measured
- what can be measured
- measurement process
- preparation of data
- analysis of data
- presentation
- deduction of corrective actions

and its relation to the Deming Cycle and the Knowledge Management has been clarified. The CSI Model has been renamed to CSI Approach, the CSI Register as container for all details of all improvement initiatives within the organization has been introduced.
The impacts

All previous ITIL® V3 certifications remain valid as the introduced modifications have no greater impact to the basic concepts of the service life cycle.

Based upon the edition 2011 minor adjustments to the training contents and certification tests have been introduced.
4  Continual Service Improvement

The discipline of Continual Service Improvement is responsible for the permanent quality assurance and ongoing enhancement of the IT Service Provider’s deliveries. This contains the review of IT Services and the review of the performance and ability of the underlying processes and methods as well. Improvement is executed in close cooperation with the other functions of IT Service Management according to the Deming Cycle (plan, act, check, improve) utilizing a 7 step improvement approach:

1. what is to be measured
2. what can be measured
3. measurement
4. processing of measurement figures
5. analysis of measurement figures
6. presentation of measurement information
7. improvement activities.

4.1 Process Overview
4.2 Interfaces
Continual Service Improvement according to ITIL® 2011

www.itmprocesses.com

Process Details

Process Responsible: Continual Service Improvement Manager
Process Content: First level processes for the continual quality assurance and optimization of IT Services.
Process Goal: IT Services improved continually in a controlled closed loop.
ISO20000 relevant: yes
ISO9000ff relevant: yes
SOX relevant: no

Involved Organizational Units and Roles

IT Service Consumers
ITSM Disciplines outside Continual Service Improvement
Continual Service Improvement

Subprocesses

Business Processes (Task)
Operational processes of the organization of the IT Service Consumers.

Organizational Unit:
IT Service Consumers

Data Objects
- CSI Register (incoming)
- Complaint (outgoing)
- Improvement Proposal (outgoing)

Service Strategy (Collapsed Subprocess)
Processes for the IT portfolio management, definition, revision and cyclically update of the IT Service Strategy as part of the business strategy and the financial management as well.

Organizational Unit:
ITSM Disciplines outside Continual Service Improvement

Data Objects
- Improvement Management Report (incoming)
- Process Architecture (incoming)
- Service Review Report (incoming)
- Results of Customer Satisfaction Survey (outgoing)
Continual Service Improvement according to ITIL® 2011

www.itmprocesses.com

- Demand for explanation (outgoing)
- Process Performance Report (outgoing)
- Service Portfolio (outgoing)
- Recommendation for Process Quality Improvement (outgoing)
- Recommendation for Service Quality Improvement (outgoing)
- Request for Modification of Process Architecture (outgoing)

**Service Design (Collapsed Subprocess)**
Processes for the design and development respective modifications and improvements of IT Services.

**Organizational Unit**
ITSM Disciplines outside Continual Service Improvement

**Data Objects**
- Improvement Management Report (incoming)
- Process Architecture (incoming)
- Service Review Report (incoming)
- Availability Management Report (outgoing)
- Capacity Management Report (outgoing)
- Process Performance Report (outgoing)
- Service Level Agreement (outgoing)
- Service Level Report (outgoing)
- Service Catalogue (outgoing)
- Recommendation for Process Quality Improvement (outgoing)
- Recommendation for Service Quality Improvement (outgoing)
- Request for Modification of Process Architecture (outgoing)

**Service Transition (Collapsed Subprocess)**
Processes for the controlled rollout of IT Services respective changes of IT Services to service operation.

**Organizational Unit**
ITSM Disciplines outside Continual Service Improvement

**Data Objects**
- Improvement Management Report (incoming)
- Process Architecture (incoming)
- Service Review Report (incoming)
- Process Performance Report (outgoing)
- Recommendation for Process Quality Improvement (outgoing)
- Recommendation for Service Quality Improvement (outgoing)
- Request for Modification of Process Architecture (outgoing)
Service Operation (Collapsed Subprocess)
Processes for efficient and effective IT Service Operation.

Organizational Unit
ITSM Disciplines outside Continual Service Improvement

Data Objects
- Complaint (incoming)
- Demand for explanation (incoming)
- Improvement Management Report (incoming)
- Process Architecture (incoming)
- Service Review Report (incoming)
- Incident Management Report (outgoing)
- Problem Management Report (outgoing)
- Process Performance Report (outgoing)
- Qualified Complaint (outgoing)
- Recommendation for Process Quality Improvement (outgoing)
- Recommendation for Service Quality Improvement (outgoing)
- Request for Modification of Process Architecture (outgoing)

Service Evaluation (Collapsed Subprocess)
All evaluative tasks for IT Services besides those described in other processes as basis for monitoring and improvement of IT Services.

Organizational Unit
Continual Service Improvement

Data Objects
- Availability Management Report (incoming)
- Complaint (incoming)
- Capacity Management Report (incoming)
- Results of Customer Satisfaction Survey (incoming)
- Incident Management Report (incoming)
- Problem Management Report (incoming)
- Qualified Complaint (incoming)
- CSI Register (incoming)
- Service Level Agreement (incoming)
- Service Level Report (incoming)
- Service Catalogue (incoming)
- Service Portfolio (incoming)
- Improvement Proposal (incoming)
- Recommendation for Service Quality Improvement (incoming)
- Service Review Report (outgoing)
- Recommendation for Process Quality Improvement (outgoing)
Process Management (Collapsed Subprocess)

Execution of planned process reviews for IT Services for potential improvements.

**Organizational Unit**
Continual Service Improvement

**Data Objects**
- Availability Management Report (incoming)
- Capacity Management Report (incoming)
- Incident Management Report (incoming)
- Problem Management Report (incoming)
- Process Performance Report (incoming)
- Service Review Report (incoming)
- Service Level Report (incoming)
- Recommendation for Process Quality Improvement (incoming)
- Request for Modification of Process Architecture (incoming)
- Requirement for Process Improvement (outgoing)
- Process Evaluation Report (outgoing)
- Process Architecture (outgoing)

Improve Management und Reporting (Collapsed Subprocess)

Management of setup and execution of improvement projects for IT Services and reporting about the activities of Continual Service Improvement.

**Organizational Unit**
Continual Service Improvement

**Data Objects**
- Requirement for Process Improvement (incoming)
- Process Evaluation Report (incoming)
- Process Architecture (incoming)
- Service Review Report (incoming)
- Improvement Management Report (outgoing)
- CSI Register (outgoing)
4.3 Processes within Continual Service Improvement

The IT Service Management processes of Continual Service Improvement contain the following:

- **Service Evaluation**
  - Service Evaluation - Interfaces
  - Service Review

- **Process Management**
  - Process Management - Interfaces
  - Process Coordination
  - Process Controlling
  - Process Review

- **Improvement Management**
  - Improvement Management - Interfaces
  - Planning of Improvement Activities
  - Management of Improvement Activities
  - Improvement Reporting
4.3.3 Improvement Management and Reporting

Improvement Management and Reporting processes the portfolio of improvement initiatives for the detected improvement potentials and problem areas regarding their mutual dependencies. Furthermore it informs the other functions of IT Service Management about progress and results.

This contains basically the following subprocesses:

- Planning of Improvement Activities
- Management of Improvement Activities
- Improvement Reporting.

This process group has been part of the previous version of the underlying ITIL® - standard

In the following paragraphs the subprocesses of this process group are described in detail.
### 4.3.3.3 Management of Improvement Activities

[Image of a flowchart showing the process of managing improvement activities in Continual Service Improvement according to ITIL® 2011.]

- **Check for feasible acceleration**
- **Check for budgetary activities**
- **Document project consolidation**
- **Update CSI Register**
- **Refuse involved parties**
- **Actualize CSI Register**
- **Communicate CSI Register**
- **Create CSI Project Report**
- **Communicate CSI Project Report**
- **CSI Project Report Communication**

The flowchart illustrates the decision points and roles involved in managing improvement activities, with decision points such as 'No modifications of CSI Register?' and 'Exceedance of total budget?'. The process includes roles such as Service Transition Manager, IT Operations Manager, Application Manager, Supplier Manager, and Project Manager, all involved in various stages of the improvement process.
Continual Service Improvement according to ITIL® 2011

Process Details

Process Responsible: Continual Service Improvement Manager
Process Content: Implementation of initiatives for realization of detected improvement potentials.
Process Goal: Goal oriented realized improvement activities of the IT Service Management according to planning.
ISO20000 relevant: yes
ISO9000ff relevant: yes
SOX relevant: no

Involved Organizational Units and Roles

Continual Service Improvement Manager
IT Operations Manager
Application Manager
Financial Manager
Supplier Manager
Service Transition Manager
Project Manager

Process Flow

CSI Project Report (Start Message Event)

Organizational Unit
Continual Service Improvement Manager

Data Objects
CSI Project Report (incoming)

Check for necessary modifications of CSI Register (Task)

Based upon the feedback from the CSI initiatives the necessity of adoptions of project planning respective corrective interventions in a CSI initiative is checked.

Organizational Unit
Continual Service Improvement Manager

Data Objects

• CSI Register (incoming)
Continual Service Improvement according to ITIL® 2011

Type of modification (Inclusive Gateway)

Organizational Unit
Continual Service Improvement Manager

Condition | Subsequent Element
---|---
"None" | No modifications of CSI Register (End Event)
"Time" | Check for feasible acceleration (Task)
"Cost" | Check for budget exceedance (Task)

No modifications of CSI Register (End Event)

Organizational Unit
Continual Service Improvement Manager

Glossary Item
CSI Register (Dokument)

Check for feasible acceleration (Task)
In case of project delay feasible activities for acceleration are checked.

Organizational Unit
Continual Service Improvement Manager

Additional Participants
- Application Manager
- IT Operations Manager
- Service Transition Manager
- Supplier Manager

Acceleration feasible ? (Data Based Exclusive Gateway)

Organizational Unit
Continual Service Improvement Manager

Condition | Subsequent Element
---|---
"no" | Actualize project schedule (Task)
"yes" | Impact to budget ? (Data Based Exclusive Gateway)

Impact to budget ? (Data Based Exclusive Gateway)

Organizational Unit
Continual Service Improvement Manager

Condition | Subsequent Element
---|---
"no" | Perform acceleration activities (Task)
"yes" | Type of modification (Inclusive Gateway)
Perform acceleration activities *(Task)*
Feasible activities for acceleration are performed.

*Organizational Unit*
Continual Service Improvement Manager

*Additional Participants*
- Project Manager

Actualize project schedule *(Task)*
The schedule of the CSI initiative as part of the CSI register is actualized.

*Organizational Unit*
Continual Service Improvement Manager

Check for budget exceedance *(Task)*
In case of cost shifts during execution of the CSI initiative a potential exceedance of the total budget of the CSI initiative is checked.

*Organizational Unit*
Continual Service Improvement Manager

Exceedance of total budget ? *(Data Based Exclusive Gateway)*

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<tr>
<th>Condition</th>
<th>Subsequent Element</th>
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<tr>
<td>&quot;no&quot;</td>
<td>Actualize Cost Planning (Task)</td>
</tr>
<tr>
<td>&quot;yes&quot;</td>
<td>Initiate budgetary activities (Task)</td>
</tr>
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</table>

Initiate budgetary activities *(Task)*
In case of a detected potential exceedance of the total budget of the CSI initiative according budgetary activities are initiated. They might be invoking of cost reduction potentials, allocation of additional budgets and even a cancellation of the project.

*Organizational Unit*
Continual Service Improvement Manager

*Additional Participants*
- Financial Manager
- Application Manager
- IT Operations Manager
- Service Transition Manager
- Supplier Manager
Cancel project? *(Data Based Exclusive Gateway)*

**Organizational Unit**
Continual Service Improvement Manager

<table>
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<th>Condition</th>
<th>Subsequent Element</th>
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<tr>
<td>&quot;no&quot;</td>
<td>Actualize Cost Planning (Task)</td>
</tr>
<tr>
<td>&quot;yes&quot;</td>
<td>Document project cancellation (Task)</td>
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**Document project cancellation (Task)**
The cancellation of the CSI initiative due to an imminent or actual exceedance of the budget is documented.

**Organizational Unit**
Continual Service Improvement Manager

**Update CSI Register (Task)**
The register of CSI initiatives (pipeline of CSI initiatives) is actualized.

**Organizational Unit**
Continual Service Improvement Manager

**Inform involved parties (Task)**
The parties concerned by the cancellation of the CSI initiative are informed immediately.

**Organizational Unit**
Continual Service Improvement Manager

**Actualize Cost Planning (Task)**
The cost planning of the CSI initiative as part of the CSI register is actualized.

**Organizational Unit**
Continual Service Improvement Manager

**Additional Participants**
- Project Manager

**Actualize CSI Register (Task)**
All actualizing modifications of the CSI initiative planning are collected in a reworked version of the CSI register.

**Organizational Unit**
Continual Service Improvement Manager

**Communicate CSI Register (Task)**
The CSI register is communicated to the involved parties according to distribution list.

**Organizational Unit**
Continual Service Improvement Manager
CSI Register communicated (End Message Event)

Organizational Unit
Continual Service Improvement Manager

Glossary Item
CSI Register (Dokument)

Create CSI Project Report (Task)
The actualized CSI project report is created..

Organizational Unit
Continual Service Improvement Manager

Additional Participants
- Project Manager

Data Objects
- CSI Project Report (outgoing)

Communicate CSI Project Report (Task)
The CSI project report is communicated to the involved parties according to distribution list.

Organizational Unit
Continual Service Improvement Manager

Additional Participants
- Project Manager

CSI Project Report communicated (End Message Event)

Organizational Unit
Continual Service Improvement Manager
5 Glossary

5.1 Process Documents in Continual Service Improvement

Availability Management Report
The Availability Management Report informs the other IT Service Management functions about the actual and planned availability of IT Services and IT Infrastructure.
Applicable Documents
Checklist Availability Reporting

Capacity Management Report
The Capacity Management Report contains all relevant information about usage and performance of the IT Services and IT Infrastructure.
Applicable Documents
Checklist Capacity Reporting

Change Management Report
The Change Management Report informs all IT Service Management Disciplines about the status of actual and planned changes and the results of the post implementation reviews and the derived improvement and optimization proposals.

Change Model
Change Models define the content and the procedure for Standard Changes. These are pre-approved Changes with low risk.

Change Request for Process Architecture
A Request for Modification of the Process Architecture is placed to the process management in case the implementation or modification of an IT Service is not possible or causes a reduction of quality standards based upon the actual Process Architecture.

Change Proposal for IT Service
The Change Proposal for IT Service describes a proposed major Change, e.g. the implementation of a new IT Service or major modifications of an existing IT Service. It is communicated for evaluation of feasibility, risks and effects of the implementation prior to starting design activities.

Change Record
The Change Record is based upon the Request for Change and documents the complete life cycle of a change.

Configuration Item
Configuration Items are the operating resources of the IT Services in general. They are maintained within the Configuration Management Database (CMDB) as part of the Configuration Management System.
CSI Register

The Continual Service Improvement Register (CSI Register) is the basis for all potentials and initiatives for the improvement of the service quality over the service life cycle. In the cyclic CSI Register all activities to improve the service quality are documented.

**Applicable Documents**
- Checklist CSI Register

Improvement Management Report

The Improvement Report provides information about planning and results of Continual Service Improvement to the other IT Service Management functions. It contains planned, actually executed and since the last report finished service- and process improvement activities and their expected respective achieved results. Furthermore proposals for future additional service improvement activities are provided.

Incident Management Report

The Incident Management Report informs all involved IT Service Management functions about occurred incidents and their elimination.

**Applicable Documents**
- Checklist Incident Reporting

Incident Message

Message by an IT Service Consumer or an IT employee about a recognized malfunction of an IT system or an IT system component.

Incident Record

The Incident Record contains all information about an incidents over its lifecycle. Typically it is documented in the Service Desk System.

**Applicable Documents**
- Checklist Incident Record

IT Budget

The IT Budget is a rolling business period related financial plan containing a prognosis of expenses and revenues to be expected for the IT Organization. Within the IT Budget funds are allocated to the processes of the IT Service Management respective to the organizational units of the IT Service Provider.

Known Error

A Known Error is a problem whose cause is known and documented including a documented Workaround (as far as available).
Operational Level Agreement

The Operational Level Agreement provides an internal contract between the IT Service Provider and another part of the IT Organization regarding the provision of an IT Service Contribution. It defines besides others:

- a description of the Service Contribution
- the service level goals
- the mutual responsibilities.

Applicable Documents
Checklist Operational Level Agreement

Problem Management Report

The Problem Management Report informs all involved IT Service Management functions about open problems and problems in process and the related solutions and Workarounds.

Problem Record

The Problem Record contains all information of a problem over its lifecycle. Typically it is documented in the service desk system.

Applicable Documents
Checklist Problem Record

Process Architecture

The Process Architecture documents the process landscape of the IT Service Provider with all interfaces and process performance indicators to ensure friction free collaboration of all processes.

Process Design

The Process Design describes a process in total with

- responsibility
- input
- output
- process steps (activities)
- interfaces
- process metrics

Process designs follow the requirements of the Process Architecture and the process management.

Process Evaluation Report

The Process Evaluation Report documents the results of the process evaluation reviews with (as appropriate):

- process maturity
- benchmarks
- weaknesses
- potentials for optimization.

Process Performance Report

The Process Performance Report documents the values for the performance indicators defined for the process on a periodical basis compared with the defined goals.
Recommendation for Process Quality Improvement
Trigger for the optimization of the quality of IT Processes as input for the process review.

Recommendation for Service Quality Improvement
Trigger for the optimization of the quality of IT Services and IT Infrastructure services by changes in
- Service Level Agreements
- Operational Level Agreements
- Underpinning Contracts
as input for the service review.

Request for Change
The Request for Change is a formal request to perform a change required for all types of change not defined as release free standard change.

Applicable Documents
Checklist Request for Change

Service Catalogue
The Service Catalogue is the part of the Service Portfolio visible for the IT Service Consumers. It contains a complete listing of all active IT Services of the IT Service Provider including those released for deployment.

Applicable Documents
Checklist Service Catalogue

Service Contribution
A Service Contribution is a necessary part of the provision of an IT Service (business service), normally IT Basic or Infrastructure Services necessary to fulfill the Service Level Arrangements of the IT Services part of which they are.

Service Design Package
The Service Design Package describes the requirements to the development of IT Services based upon Service Level Requirements. It contains the requirements from the customer’s perspective and describes how they will be realized from technical and organizational perspective.

Applicable Documents
Checklist Service Design Package

Service Documentation
The Service Documentation contains the complete description of the IT Services including all documentation needed for operation, maintenance and further development. This includes besides others:
- development documentation
- user documentation
- functional descriptions
- maintenance plans
- maintenance processes.
Service Landscape
The Service Landscape documents the relations between business services and IT Services at one hand and the relations between IT Services and IT Infrastructure at the other hand. Thus it assures the logical link from business service down to Configuration Items.

Furthermore it is the basis of a holistic risk management for the IT Services with the aspects:
- criticality from business perspective
- criticality from technology perspective
- criticality from resource perspective.

Service Level Agreement
The Service Level Agreement defines the mutual contractual requirements regarding the IT Service. This contains besides others:
- service description
- entitled Service Consumers
- Service Level Goals
- mutual responsibilities.

Applicable Documents
Checklist Service Level Agreement

Service Level Report
The Service Level Report informs about the agreed service quality of the IT Service Provider respective Suppliers comparing the agreed and achieved Service Levels. The report furthermore provides information about the utilization of the IT Services, ongoing activities for service improvement and extraordinary occurrences.

Applicable Documents
Checklist Service Level Report

Service Level Requirement
The Service Level Requirement contains all requirements to an IT Service from the business perspective of the IT Service Consumer. It defines besides others:
- service requirements
- service level goals
- mutual responsibilities

During service design the Service Level Requirement is the basis for the service contract and the Service Level Agreement.

Applicable Documents
Checklist Service Level Requirement

Service Level Arrangement
Service Level Arrangements cover all service level relevant agreements and contracts:
- Service Level Agreements
- Operational Level Agreements
- Underpinning Contracts.
Service Portfolio

The Service Portfolio contains a complete listing of all IT Services of the IT Service Provider:
- actual IT Services (contractual requirements defined by Service Level Agreements)
- new IT Services under development
- disabled IT Services

Visible for the IT Service Consumer is the Service Catalogue as subset of the Service Portfolio. Not visible for the IT Service Consumer are:
- IT Service Contributions defined by Operational Level Agreements
- IT Service Contributions defined by Underpinning Contracts (external supplies defined by supplier contracts)

Applicable Documents
- Checklist Service Portfolio

Service Request

Request from an IT Service Consumer or from an IT employee for:
- standard change
- user rights
- data recovery
- information
- consulting.

Service Review Report

The Service Evaluation Report documents the results of the service evaluation reviews with
- weaknesses
- technical and economical optimization potentials.

Service Strategy

Systematic, cyclic and operationalized long range planning of the goals of the IT Service Provider and for the IT Services.

Standard Change

A Standard Change is a low risk recurring change, which does not need a explicit release by the Change Manager being generally released. Each standard change is described in a Change Model.

Underpinning Contract

An Underpinning Contract is a contract between the IT Service Provider and an external service Supplier about the delivery of IT Service Contributions. It defines besides others:
- the description of the Service Contribution
- the service level goals
- the mutual responsibilities

Applicable Documents
- Checklist Underpinning Contract
Workaround

A Workaround is a bypass solution for an incident or a problem, where no cause eliminating solution is available so far. Goal of the Workaround is to reduce or avoid the effects of the incident respective problem until a final solution is available.

Workarounds for incidents without related Problem Record are documented in their Incident Record, while Workarounds for problems are documented in the Known Errors database.
5.2 Involved Organizational Units in Continual Service Improvement

IT

The responsible IT Service Provider.
5.3 Involved Roles in Continual Service Improvement

1st Level Support
The responsibility of 1st Level Support is to register and classify incoming notifications. In case of incident messages he/she undertakes an immediate effort to restore a failed IT Service as quickly as possible (within the agreed service levels) in case of foreseeable success. If no ad hoc solution can be achieved, 1st Level Support will transfer the incident to the appropriate technical support groups (2nd Level Support). 1st Level Support also processes Service Requests of Users and keeps Users informed about their notifications' status at agreed intervals or status changes.

2nd Level Support
2nd Level Support takes over incidents which cannot be solved immediately by the means of 1st Level Support. If necessary, he/she will request external support, e.g. from software or hardware manufacturers (3rd Level Support). The goal is to restore a failed IT Service as quickly as possible (within the agreed service levels), if necessary by implementation of a Workaround. If no causal solution can be found, the 2nd Level Support passes on the incident to Problem Management for further processing.

3rd Level Support
3rd Level Support is typically located at external Suppliers (hardware or software manufacturers). Its services are requested by 2nd Level Support if their technical expertise is not sufficient respective additional skills are required for solving an incident or problem. The goal is to restore a failed IT Service as quickly as possible (within the agreed service levels).

Application Manager
The Application Manager is responsible for operation of, the user support resources in 2nd Level Support for and the support of further development of the applications in his/her area over their life cycle.

Availability Manager
The Availability Manager is responsible for the definition, analysis, planning, measuring and improvement of all aspects of the availability of IT Services in respect to the agreed service levels. He/she is responsible for ensuring that all IT Infrastructure, processes, tools, roles and other utilized auxiliary means are appropriate for the agreed service level targets of availability (also in the future based upon known business requirements).

Capacity Manager
The Capacity Manager is responsible for ensuring that IT Services and IT Infrastructure are able to deliver the agreed service levels from capacity perspective in a cost effective manner. He/she is responsible for ensuring that all IT Infrastructure, processes, tools, roles and other utilized auxiliary means are appropriate for the agreed service level targets of capacity (also in the future based upon known business requirements).
Change Advisory Board

The Change Advisory Board is a team from all organizational units of the IT Service Provider, its customers and (as far as necessary) Suppliers, advising the Change Management in classifying, evaluating, prioritizing, scheduling and releasing of changes. It meets on a periodical basis.

Change Manager

The Change Manager authorises, documents and controls all changes in the IT Services, the IT Infrastructure and their components (Configuration Items (CIs)) over the change lifecycle, in order to maintain a minimum amount of interruptive effects upon the running operation. In the case of further reaching changes, he/she involves the Change Advisory Board (CAB), in emergency cases the Emergency Change Advisory Board (ECAB).

Compliance Manager

The Compliance Manager's responsibility is to ensure that standards and guidelines are followed. This covers
- proper and consistent accounting
- obeying of procurement guidelines
- obeying environmental regulations and law
- obeying other statutory provisions
- obeying other company specific regulations.

Continual Service Improvement Manager

The Continual Service Improvement Manager is responsible for managing improvements to the IT Services and the IT Service Management processes over their life cycle regarding the development of business requirements and the IT Service Strategy. He/she continually measures the performance of the IT Service Provider and designs improvements to IT Services, IT Infrastructure and IT Processes in order to increase efficiency, effectiveness, and profitability of the IT Service Provider.

Emergency Change Advisory Board

The Emergency Change Advisory Board is a team consisting of members of the Change Advisory Board, called by the Change Manager on short notice in emergency cases, who make decisions about high impact emergency changes. Selection of members of the Emergency Change Advisory Board is decided at the time a meeting is called depending on the nature of the emergency change.

Financial Manager

The Financial Manager is responsible for managing the IT Service Provider's financials containing
- budgeting
- accounting and cost control
- charging of deliverables provided to the customer.

Information Security Manager

Der Information Security Manager ist verantwortlich dafür, dass alle IT Services, IT Infrastruktur, IT Assets, Informationen und Daten (in allen Präsentationsformen) eines Unternehmens jederzeit hinsichtlich ihrer Vertraulichkeit, Integrität und Verfügbarkeit geschützt sind. Er ist normalerweise eingebunden in ein unternehmensweites Security Management.
IT Manager

Responsible manager of IT according to the organizational structure.

IT Operations Manager

The IT Operations Manager has the overall responsibility for all activities of IT operations:
- definition of the guidelines for routine tasks of IT operation (standard operating procedures)
- ensuring that all operational routine tasks are performed in time and properly.

IT Service Continuity Manager

The IT Service Continuity Manager cares for the provision of the minimum service levels agreed upon in the Service Level Agreements in cases of disaster. To achieve this he/she
- arranges for risks that could seriously impact IT Services
- performs risk minimizing precautions for disaster situations by reducing the risk to an acceptable level
- plans activities for the recovery of IT Services in disaster cases.

IT Service Consumer

All (internal and external) persons or organizational units, who consume the services of the IT Service Provider.

ITSM Management

The group of leading persons inside the IT who are in charge for the disciplines of IT Service Management.

Process Manager

The Process Manager is responsible for planning and coordination of all operational process related tasks:
- support for process execution
- measurement of process performance indicators
- error detection
- performance reporting.

Process Owner

The Process Owner is responsible for the friction free, economical and goal oriented operation of his/her process(es) (business process, IT Process). This includes
- securing the necessary budgetary funding
- goal oriented economic design
- appropriate procedures of process controlling
- change management for the respective process
- continual process improvement.

Project Manager

The Project Manager is responsible for planning and coordination of all resources within his/her projects regarding the project portfolio and the mutual dependencies of projects resulting thereof. He/she manages for reaching the planned project goals within the predicted cost, time and quality estimates.
Prospect

Possible future **IT Service Consumer** with defined demand for IT Services.

**Service Design Manager**

The Service Design Manager is responsible that new respective existing services are designed that

- they are in accordance with the **IT Service Strategy**
- they are in accordance with compliance requirements
- they can be provided in an economic way by the IT Service Provider
- all accompanying processes, guidelines and documentations for the operation of these services are existing
- all required responsibilities are defined and staffing with appropriately skilled personnel.

**Service Level Manager**

The Service Level Manager is responsible for the setting up executable Service Level Arrangements

- **Service Level Agreements** (customer oriented)
- **Operational Level Agreements** (operations oriented)
- **Underpinning Contracts** (supplier oriented)

in a way that the goals defined in these arrangements are reachable in an economic manner. The achievement of goals is controlled and reported by him/her.

**Service Owner**

The Service Owner is responsible for the management of IT Service(s) assigned to him/her over their lifecycle. He/she supports the maintenance of the **Service Strategy** and the **Service Portfolio**.

**Service Transition Manager**

The Service Transition Manager coordinates the subprocesses of Service Transition:

- Transition Planning and Support
- Change Management
- Release and Deployment Management
- Service Validation and Test
- Service Asset and Configuration Management
- End of Service Life Cycle
- Knowledge Management

in a way that the business value of the IT Services for the **IT Service Consumers** planned in the previous phases of the lifecycle

- Service Strategy
- Service Design

can be achieved. He/she informs the other disciplines of IT Service Management about all projects of Service Transition in general.
Supplier

External Suppliers of IT Services, IT Service Contributions, and outsourcing services, where the scope of supply is defined in the Underpinning Contracts, external Suppliers of infrastructure and operating supplies.

Supplier Manager

The responsibility of the Supplier Manager covers

- the evaluation of qualified external Suppliers
- contract conclusions with external Suppliers meeting the business requirements
- lifecycle management of Underpinning Contracts
- ensuring correct fulfillment of contracts by the external suppliers
- review and valuation of the external Suppliers’ performance.

User

The User of an IT System within the business organization (internal and external). Users are the purely operative subgroup of the IT Service Consumers.
5.4 Involved IT Systems in Continual Service Improvement

Commercial System
The IT System which maintains, documents and controls the financial management of the enterprise. Normally it is part of the integrated ERP System (Enterprise Resource Planning).

Configuration Management System
The Configuration Management System (CMS) contains a coherent logical model of the infrastructure of the IT Organization. Within there is stored the information of all Configuration Items (CIs) maintained by the Configuration Management. This includes Configuration Records, Incident-, Problem- and Change - Information. The Configuration Management System may consist of a number of data bases connected via logical links.

Knowledge Management System
The Knowledge Management System is the central repository of relevant knowledge information of the IT Service Providers. Ideally it is a structured document management system but may also consist of a mixture of IT supported and paper repository. In no case there should exist parallel archiving to the operational databases of the organisation but complement these seamlessly by following information categories:
- guidelines and procedures
- reports from all IT Service Management disciplines
- service- and project relevant information
- experience from project management
- process relevant information
- aso.

Service Desk System
The Service Desk System contains the database of user support including the knowledge base for incident- and problem management. Normally it is part of the integrated IT Service Management system.
### 6.3 Responsibility Assignment Matrix for Improvement Management

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<th>Activity</th>
<th>Application Manager</th>
<th>Continual Service Improvement Manager</th>
<th>Financial Manager</th>
<th>IT Controller</th>
<th>IT Manager</th>
<th>IT Operator Manager</th>
<th>Project Manager</th>
<th>Service Level Manager</th>
<th>Service Owner</th>
<th>Service Transition Manager</th>
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**Legend:**
- **R** - Responsible
- **A** - Accountable
- **C** - Consulted
- **I** - Informed
- **X** - Participates