Excerpt

ITSM Processes of

Service Strategy

according to ITIL® 2011

…. the processes …. 
…. the tasks …. 
…. the roles …. 
…. the responsibilities …. 
…. the involved parties …. 

www.itsmprocesses.com
This ebook is the 1st 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 projekt 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).
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 und 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 Service Strategy

The discipline Service Strategy provides information and guidance for the design, development and implementation of IT Service Management as organizational skill and strategic asset. This comprises the integration of customers respective Prospects and the management of the IT Service Strategy as part of the company strategy, the maintenance of a catalogue of service offerings, the control of service consumption and the financial control of the IT Services as well.

4.1 Process Overview
4.2 Interfaces
Service Strategy according to ITIL® 2011

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Process Details

Process Responsible: IT Manager
Process Content: First level processes for Business Relationship Management, IT Portfolio Management, Demand Management, definition, revision and cyclic update of the IT Service Strategy as part of the business strategy and the IT Financial Management as well.
Process Goal: Provision of the strategical and tactical targets for effective and efficient IT Service Management and related finance, integration of the IT Services into the consumer’s business and controlled service consumption based upon a well defined Service Portfolio.

Involved Organizational Units and Roles

- Prospects
- IT Service Consumers
- ITSM Disciplines outside Service Strategy
- Service Strategy

Subprocesses

Business Processes
Operational processes of the organization of the Prospects.

Business Unit
Prospects

Data Objects
- Prospect Inquiry (outgoing)

Strategy Processes
Company wide definition and periodic further development of the company strategy of the organization of the IT Service Consumers.

Business Unit
IT Service Consumers
Data Objects

- Draft Service Strategy (incoming)
- Service Strategy (incoming)
- Company Strategy (outgoing)
- Targets for the Service Strategy (outgoing)

Financial Processes

Processes of economic control of the company, they enclose e.g. the following relevant tasks:

- Budgeting
- Accounting
- Controlling

Business Unit
IT Service Consumers

Data Objects

- IT Financial Report (incoming)
- Company Budget (outgoing)
- Targets for the IT Budget (outgoing)

Operational Business Processes

Operational processes of the organization of the IT Service Consumers.

Business Unit
IT Service Consumers

Data Objects

- Results of Customer Satisfaction Survey (incoming)
- Historical consumption of IT Services (incoming)
- Service Catalogue (incoming)
- Requirements to IT Services (outgoing)
- Customer Inquiry (outgoing)
- Statements to Customer Satisfaction Survey (outgoing)
- Future demand for IT Services (outgoing)

Service Operation (Collapsed Subprocess)

Processes for an efficient and effective IT Service Operation.

Business Unit
ITSM Disciplines outside Service Strategy

Data Objects

- IT Budget (incoming)
- Service Portfolio (incoming)
- Service Strategy (incoming)
Continual Service Improvement (Collapsed Subprocess)
Processes for continual quality assurance and improvement of the IT Services.

Business Unit
ITSM Disciplines outside Service Strategy

Data Objects
- Results of Customer Satisfaction Survey (incoming)
- IT Budget (incoming)
- Action for Demand Control (incoming)
- Service Portfolio (incoming)
- Service Strategy (incoming)
- Recommendation for Service Quality Improvement (incoming)
- Budget Requirement (outgoing)
- Actual Costs (outgoing)

Service Transition (Collapsed Subprocess)
Processes for the controlled transfer of the IT Services respective modifications to IT Services to Service Operation.

Business Unit
ITSM Disciplines outside Service Strategy

Data Objects
- IT Budget (incoming)
- Service Portfolio (incoming)
- Service Strategy (incoming)
- Budget Requirement (outgoing)
- Actual Costs (outgoing)

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

Business Unit
ITSM Disciplines outside Service Strategy

Data Objects
- Design Project (incoming)
- IT Budget (incoming)
- Capacity Requirement (incoming)
- Service Portfolio (incoming)
- Service Strategy (incoming)
Demand Management (Collapsed Subprocess)
Processes
- for the analysis and prognosis of demands for IT Services
- and derived necessities for control of demands by technical and financial means.

Business Unit
Service Strategy
Data Objects
- Service Catalogue (incoming)
- Future demand for IT Services (incoming)
- Demand Prognosis (outgoing)
- Historical consumption of IT Services (outgoing)
- Capacity Requirement (outgoing)
- Action for Demand Control (outgoing)

Service Portfolio Management (Collapsed Subprocess)
Processes for the management of the Service Portfolio over the life cycle and triggering of Service Development.

Business Unit
Service Strategy
Data Objects
- Requirements to IT Services (incoming)
- Desired Service Outcome (incoming)
- IT Budget (incoming)
- Service Catalogue (incoming)
- Transition Management Report (incoming)
- Budget Requirement (outgoing)
- Design Project (outgoing)
- Service Portfolio (outgoing)

Financial Management (Collapsed Subprocess)
Processes for cost- and revenue management for IT Services, budgeting, definition of charges and optimization of operating efficiency.

Business Unit
Service Strategy
Data Objects

- Company Budget (incoming)
- Budget Requirement (incoming)
- Demand Prognosis (incoming)
- Actual Costs (incoming)
- Action for Demand Control (incoming)
- Service Portfolio (incoming)
- Service Strategy (incoming)
- Targets for the IT Budget (incoming)
- IT Budget (outgoing)
- IT Financial Report (outgoing)

Business Relationship Management (Collapsed Subprocess)
Processes for the maintenance of internal and / or external relations to IT Service Consumers (customers) and Prospects:

- Organization of customer relations
- Identification of service requirements
- Contract conclusion for Standard IT Services
- Customer Satisfaction Surveys
- Processing of customer complaints
- Monitoring of customer complaints.

Business Unit
Service Strategy

Data Objects

- Prospect Inquiry (incoming)
- Customer Inquiry (incoming)
- Statements to Customer Satisfaction Survey (incoming)
- Results of Customer Satisfaction Survey (outgoing)
- Desired Service Outcome (outgoing)
- Recommendation for Service Quality Improvement (outgoing)

Management of IT Service Strategy (Collapsed Subprocess)
Processes for the definition and maintenance of the IT Service Strategy:

- Strategic assessment of IT Services
- Conception of IT Service Strategy
- Implementation of IT Service Strategy.

Business Unit
Service Strategy
Data Objects

- Company Strategy (incoming)
- Targets for the Service Strategy (incoming)
- Draft Service Strategy (outgoing)
- Service Strategy (outgoing)
4.3 Processes within Service Strategy

The IT Service Management processes of Service Strategy contain the following:

- **Business Relationship Management**
  - Business Relationship Management - Interfaces
  - Customer Relations
  - Identification of Service Requirements
  - Contract Conclusion for Standard IT Services
  - Customer Satisfaction Surveys
  - Customer Feedback Management
  - Monitoring of Customer Complaints

- **Management of IT Service Strategy**
  - Management of IT Service Strategy - Interfaces
  - Strategic Assessment of IT Services
  - Conception of IT Service Strategy
  - Implementation of IT Service Strategy

- **Service Portfolio Management**
  - Service Portfolio Management - Interfaces
  - Preparation for Service Design
  - Initiation of Service Design
  - Service Portfolio Review

- **Demand Management**
  - Demand Management - Interfaces
  - Demand Prognosis
  - Demand Control

- **Financial Management**
  - Financial Management - Interfaces
  - IT Financial Organization
  - IT Budgeting
  - IT Forecast
  - IT Cost Monitoring
  - Invoicing for IT Services
  - IT Profitability Analysis
  - IT Financial Reporting
4.3.1 Business Relationship Management

Business Relationship Management is in charge for the maintenance of relations to existing customers and Prospects and the provision of information for potential customers as well.

This contains basically the following subprocesses:

- Customer Relations
- Identification of Service Requirements
- Contract Conclusion for Standard IT Services
- Customer Satisfaction Surveys
- Customer Feedback Management
- Monitoring of Customer Complaints

This process group is newly introduced to the standard with the revision 2011 of ITIL®. Some of the processes existed already in the previous release:

- “Contract conclusion for Standard IT Services“ in Service Design ⇒ Service Level Management

In the following paragraphs the subprocesses of this process group are described in detail.
4.3.1.2 Customer Relations
Process Details

Process Responsible: Business Relationship Manager
Process Content: Management of customer relations.
Process Goal: Maintenance of existing customer relations and creation of them with potential Prospects.
ISO20000 relevant: no
ISO9000ff relevant: yes
SOX relevant: no

Involved Organizational Units and Roles

Prospects
IT Service Consumers
Business Relationship Manager
IT Operations

Process Flow

Requirement (Start Event)
Business Unit
Prospects

Preparation of inquiry (Task)
Business Unit
Prospects

Prospect inquiry (End Message Event)
Business Unit
Prospects

Requirement (Start Event)
Business Unit
IT Service Consumers
Preparation of inquiry *(Task)*  
An inquiry for the demand is created and handed over to the IT Service Provider.  

*Business Unit*  
IT Service Consumers

Customer inquiry *(End Message Event)*  

*Business Unit*  
IT Service Consumers

Periodic Portfolio Information *(Start Timer Event)*  

*Business Unit*  
Business Relationship Manager

Change of Service Catalogue *(Start Message Event)*  

*Business Unit*  
Business Relationship Manager

*Glossary Item*  
Service Catalogue (Document)

Proactive Information about Service Catalogue *(Task)*  
Periodical and especially in case of changes in the Service Catalogue a proactive information about the actual Service Catalogue is provided.  

*Business Unit*  
Business Relationship Manager

*Data Repositories*  
Service Portfolio Database

Portfolio information for Service Customers *(End Message Event)*  

*Business Unit*  
Business Relationship Manager

Portfolio information for Service Prospects *(End Message Event)*  

*Business Unit*  
Business Relationship Manager

Periodic review of requirements *(Start Timer Event)*  

*Business Unit*  
Business Relationship Manager
Customer feedback *(Start Message Event)*

*Business Unit*
- Business Relationship Manager

**Clarification of changed requirements (Task)**

Changed requirements from the **IT Service Consumer** are discussed on periodical basis and documented.

*Business Unit*
- Business Relationship Manager

**Additional Participants**
- IT Service Consumer

**Changed requirements ? (Data Based Exclusive Gateway)**

*Business Unit*
- Business Relationship Manager

<table>
<thead>
<tr>
<th>Condition</th>
<th>Subsequent Element</th>
</tr>
</thead>
<tbody>
<tr>
<td>„no“</td>
<td>No action required (End Event)</td>
</tr>
<tr>
<td>„yes“</td>
<td>Documentation in Customer Portfolio</td>
</tr>
</tbody>
</table>

**No action required (End Event)**

*Business Unit*
- Business Relationship Manager

**Customer Inquiry (Start Message Event)**

*Business Unit*
- Business Relationship Manager

**Documentation in Customer Portfolio (Task)**

The inquiry is documented in the **Customer Portfolio**.

*Business Unit*
- Business Relationship Manager

**Data Repositories**
- Customer Portfolio Database

**Clarification of requirements (Collapsed Subprocess)**

The requirements of the inquiry are checked for
- general feasibility
- feasibility utilizing **Standard IT Services** respective the necessity of **Individual IT Services**.
Service Strategy according to ITIL® 2011

Desired Service Outcome (Intermediate Message Event)

Standard IT Service? (Data Based Exclusive Gateway)

Request for Individual IT Service (End Message Event)

Request for Standard IT Service (End Message Event)

Prospect inquiry (Start Message Event)
Documentation in Customer Portfolio (Task)
For new Prospects the basic data are recorded in the Customer Portfolio. The inquiry is documented.

Business Unit
Business Relationship Manager

Data Repositories
Customer Portfolio Database

Clarification of requirements (Collapsed Subprocess)
The requirements of the inquiry are checked for
- basic feasibility
- realizability by means of Standard IT Services respective the necessity of Individual IT Services.

Business Unit
Business Relationship Manager

Additional Participants
- Prospect

Desired Service Outcome (Intermediate Message Event)
Business Unit
Business Relationship Manager

Glossary Item
Desired Service Outcome (Document)

Standard IT Service ? (Data Based Exclusive Gateway)
Business Unit
Business Relationship Manager

Condition                         Subsequent Element
„no“                             Request for Individual IT Service (End Message Event)
„yes“                             Request for Standard IT Service (End Message Event)

Request for Standard IT Service (End Message Event)
Business Unit
Business Relationship Manager

Glossary Item
Standard IT Service (Document)
Request for Individual IT Service *(End Message Event)*

*Business Unit*

Business Relationship Manager

*Glossary Item*

Individual IT Service (Document)

Involved IT Systems

- Customer Portfolio Database
- Service Portfolio Database
5 Glossary

5.1 Process Documents in Service Strategy

Actual Costs
Actual Costs are period related expenses of the (part of the) organization or a project.

Availability Management Report
The Availability Improvement Plan all planning relevant information for the improvement of the availability of the IT Services
- initial situation to be improved
- planned activities
- planned new respective modified guidelines.

Applicable Documents
Checklist Availability Reporting

Budget Requirement
The Budget Requirement describes the budget period related prognosis of expected costs and revenues of the requiring business unit respective project.

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

Capacity Plan
The Capacity Plan contains the prognosis of the future Capacity Demand per IT Service and evaluated possible activities to provide these required capacities.

Applicable Documents
Checklist Capacity Planning

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 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 Request for Service Catalogue

A Change Request for Service Catalogue is placed to Service Catalogue Management in case new Services or Service Attributes have to be introduced into the Service Catalogue.

Configuration Item

Configuration Items are the operating resources of the IT Services in general. They are maintained within the Configuration Management Database (CMDB), which itself is a core component 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

Customer Portfolio

The Customer Portfolio contains information about all customers of the IT Service Provider over the customer's lifecycle from the Business Relationship Management's perspective (comparable to CRM).

Demand Prognosis

The Demand Prognosis provides a forecast of the future demand for IT Services based upon the IT Service Strategy, requests from the IT Service Consumers and historic consumption trends.

Desired Service Outcome

The Desired Service Outcome describes the expected results of an IT Services with the words of the customer. Based upon this information detailed documents describing the requirements exactly in technical terms of the Service Provider are created.

Forecast

The Forecast describes an extrapolation of economic results based upon Actual Costs and revenues of previous periods within the budgeting period to the end of this budgeting period.

Improvement Management Report

The Improvement Management Report provides information about planning and results of Continual Service Improvement for 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 ITSM Disciplines about occurred Incidents and their elimination.

Applicable Documents
   Checklist Incident Management Report
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.

IT Financial Report
The IT Financial Report documents costs, revenues and contribution margins of IT Services, the costs of IT System Operation allocated to the IT Services and provides a forecast to the development of the financial performance indicators.

IT Forecast
The IT Forecast provides a projection of the economic results (of Individual IT Services or the complete IT Organization) to the end of the budgeting period based upon Actual Costs and revenues of previous periods.

Individual IT Service
An Individual IT Service requires normally changes of underlying basic IT Services or Infrastructure Services. Thus an important focus on the functional and organizational requirements specification is necessary.

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 ITSM Disciplines about open Problems and Problems in process and the related solutions and Workarounds.

Recommendation for Demand Control
Trigger for the optimization of service consumption behaviour as input for the Demand Management.

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.

Release Package

The release package contains all Configuration Items belonging to the respective release. Those Configuration Items may be

- Hard- and Software Components
- IT Infrastructure Services
- IT Applications
- aso.

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 Change Request

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 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 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.

Service Level Arrangement

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

Service Level Report

The Service Level Report informs about the agreed service quality of the Service Providers 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.

Service Level Requirement

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

During service designs the Service Level Requirement is the basis for the service contract and the Service Level Agreements.
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 Portfolio Review Report

The Service Portfolio Review Report contains all organizational, technical and economic outcomes of the Service Portfolio Review. It is an essential input for the strategic evaluation of the IT Services.

Service Strategy

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

Standard IT Service

A Standard IT Service needs normally no change of the underlying IT Basic Services and Infrastructure Services. Thus the process of requirements specification is concentrating on the definition of service level goals and their control.

Standard Operating Procedures

The Standard Operating Procedures contain the rules for recurring standard activities of the IT Operation and the according targets for these activities and processes.

Tactical Charge Rates

Tactical Charge Rates are used for demand control by financial means.

Transition Management Report

The Transition Management Report contains information about all active and planned Transition Projects (status, milestones, finish).
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 Service Strategy

**Accounting**

The organizational unit in charge for management of profit and loss calculation and company balance sheet (external reporting).

**Controlling**

The organizational unit in charge for cost accounting, calculation, budgeting, cost control and monetary decision support (internal reporting).

**General Management**

The top management is the finally deciding board according to the organizational structure of the IT Service Consumers.

**IT**

The responsible IT Service Provider.

**IT Operations**

The organizational unit or group within the IT in charge for the operation of the IT.
5.3 Involved Roles in Service Strategy

**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).

**Business Relationship Manager**

The Business Relationship Manager is in charge of maintaining the customer relations. He/she
- identifies customer requirements
- ensures that the IT Service Provider is able to fulfill these requirements based upon an appropriate Service Catalogue.

**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).

**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.

**Demand Carrier**

Authorized requestor of goods and services from the IT Service Provider.
### Demand Manager
The Demand Manager is in charge of all activities
- for identification and understanding
- for prognosis
- to technically and economically influence
the demands for IT Services from business perspective. Together with the Capacity Management he/she ensures that the IT Service Provider is providing sufficient capacity to meet the actual, future and even situative additional capacity requirements.

### 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.

### Incident Manager
The Incident Manager is primarily responsible for the fastest possible restoring of a failing IT system in case of incidents. He/she is the first stage of escalation for incidents in case they are not resolvable within the agreed service levels. Furthermore he/she is responsible for the intake and content conforming handover of customer messages of any kind (besides incident messages).

### Information Security Manager
The Information Security Manager is responsible for ensuring the confidentiality, integrity and availability of an organization’s IT Services, IT infrastructure, IT assets, information and data (in all ways of presentation). He/she is usually involved in an organization wide approach to Security Management.

### IT Controller
The IT Controller is the person in charge for the responsible Service Provider within the Controlling department.

### 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.

IT Steering Committee
The IT Steering Committee is responsible for the IT - Business - Alignment (integration of IT in the company business to fulfill the role as „Enabler“ of the business) and thus consists of decision makers of the operational company organization and the IT. It approves IT projects of defined size and criticality according to internal approval guidelines. It defines and is responsible for

- the IT Service Strategy
- the priorities of IT Service Development
- the monitoring of realization of the IT Service Strategy.

The IT Steering Committee meets periodically and not only (but also) event driven.

Problem Manager
The Problem Manager is responsible that all problems are handled over their whole lifecycle to

- avoid the occurrence of incidents
- minimize the negative impacts of not avoidable incidents
- provide information about Known Errors
- document possible and implemented Workarounds
- detect possible future problems proactively.

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.

Project Owner
The Project Owner is the person in charge for a project from the business oriented holistic perspective and the achievement of related project targets.

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

Service Catalogue Manager
The Service Catalogue Manager is responsible for developing and maintaining the service catalogue based upon the service portfolio, ensuring that all information within the service catalogue is accurate, up to date and accessible for all authorized persons.

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 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 staffed 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 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 IT Service Strategy and the Service Portfolio.

Service Portfolio Manager
The Service Portfolio Manager accounts for the development and maintenance of the Service Portfolio. He/she
- ensures that the Service Portfolio as a whole supports the achieving of business goals by IT Service Consumers in economic manner (business value)
- provides important requirements for the development of new respective the modification of existing IT Services to Service Design regarding the service strategy.
Service Strategy Manager  
The Service Strategy Manager supports the IT Steering Committee in  
- definition  
- maintaining 
- further development  
of the IT Service Provider's IT Service Strategy. He/she is responsible for the  
- communication  
- implementation  
of the IT Service Strategy.

Solution Architect  
The Solutions Architect is responsible for designing IT systems and IT applications required to provide an IT Service. This includes the specification of technologies, architectures and data structures as a basis for application development or customization and the technical and organizational realization concept as well.

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.
5.4 Involved IT Systems in Service Strategy

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).

Customer Portfolio Database
The Customer Portfolio Database contains all Customer Information (thus normally it is part of a CRM (Customer Relationship Management) System).

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.

Service Portfolio Database
Database of the Service Portfolio. Normally it is part of the integrated ITSM System.
6.1 Responsibility Assignment Matrix for Business Relationship Management

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<th>Capacity Manager</th>
<th>Demand Manager</th>
<th>Financial Manager</th>
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Legend:
- R - Responsible
- A - Accountable
- C - Consulted
- I - Informed
- X - Participates