Excerpt

ITSM Processes of

Service Transition

According to ITIL® 2011

.... the processes ....
.... the tasks ....
.... the roles ....
.... the responsibilities ....
.... the involved parties ....
This ebook is the 3rd 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
Legal notice

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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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7.2 Checklist Change Classification

7.3 Checklist Change Planning

7.4 Checklist Change Advisory Board Agenda

7.5 Checklist Post Implementation Review

7.6 Checklist Incident Management Report

7.7 Checklist Capacity Reporting

7.8 Checklist Operational Level Agreement

7.9 Checklist Continual Service Improvement Register

7.10 Checklist Service Level Requirement

7.11 Checklist Service Level Agreement

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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 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 Service Transition

The discipline of Service Transition is responsible for the creation and friction free implementation and rollout to production of new respective modified IT Services. This includes especially an efficient Change Management with the newly introduced Change Evaluation of ITIL® 2011. This Change Evaluation ensures during all phases of extensive changes the fulfillment of targets and the knowledge retention at an early stage. All operational processes for the setup of new respective the modification of existing IT Services (like creation, testing, rollout, end of lifecycle) are contained here as well together with the supportive processes of administration of IT Service Assets and Knowledge Management.

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

Process Details

Process Responsible: Service Transition Manager
Process Content: First level processes for the controlled transfer of IT Services respective changes to IT Services into Service Operation.
Process Goal: Controlled transfer of the newly developed or modified IT Services to Service Operation.
ISO20000 relevant: yes
ISO9000ff relevant: yes
SOX relevant: yes

Involved Organizational Units and Roles

IT Service Consumers
Suppliers
ITSM Disciplines outside Service Transition
Service Transition

Subprocesses

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

Organizational Unit
IT Service Consumers

Data Objects
• Acceptance Protocol (incoming)
• Cancellation of usage of IT Service (outgoing)
• Company Strategy (outgoing)

Supplier Process (Task)
Processes of the external Suppliers of the responsible IT Service Provider.

Organizational Unit
Suppliers

Data Objects
• Acceptance Protocol (incoming)
• Demand for correction (components, interfaces) (incoming)
• External Service Contribution (outgoing)
Service Transition according to ITIL® 2011

Service Strategy (Collapsed Subprocess)
Processes for the IT Portfolio Management, definition, revision and cyclic update of the IT Service Strategy as part of the company strategy and IT Financial Management as well.

Organizational Unit
ITSM Disciplines outside Service Transition

Data Objects
- **Definitive Media Library** (incoming)
- Discipline specific Know How (incoming)
- **Transition Management Report** (incoming)
- Update **Service Portfolio** (incoming)
- **Service Portfolio** (outgoing)
- **Service Strategy** (outgoing)

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

Organizational Unit
ITSM Disciplines outside Service Transition

Data Objects
- **Definitive Media Library** (incoming)
- Discipline specific Know How (incoming)
- **IT Requirements Requisition** (incoming)
- **Supplier Contract** (incoming)
- Release Closing (incoming)
- Structure of **Configuration Management Systems** (incoming)
- **Transition Management Report** (incoming)
- Update **Service Catalogue** (incoming)
- Update **Supplier Contract** (incoming)
- **Availability Management Report** (outgoing)
- **Capacity Management Report** (outgoing)
- **IT Supplier Strategy** (outgoing)
- **IT Procurement Guideline** (outgoing)
- **IT Service Continuity Report** (outgoing)
- **Supplier Contract** (outgoing)
- **Operational Level Agreement** (outgoing)
- **Recovery Plan** (outgoing)
- **Request for Change** (outgoing)
Service Transition according to ITIL® 2011

- Risk Log (outgoing)
- Security Management Report (outgoing)
- Service Design Package (outgoing)
- Service Level Agreement (outgoing)
- Service Level Report (outgoing)
- Service Catalogue (outgoing)
- Supplier Service Level Report (outgoing)
- Demand for modification of Configuration Management System (outgoing)

Service Operation (Collapsed Subprocess)

Processes for efficient and effective service operation.

Organizational Unit
ITSM Disciplines outside Service Transition

Data Objects
- Archiving Requirement (incoming)
- Change Management Report (incoming)
- Change Information (incoming)
- Discipline specific Know How (incoming)
- Approval for Rollout (incoming)
- Planned Service Downtime (incoming)
- Release Closing (incoming)
- Resource Reservation (incoming)
- Structure of Configuration Management Systems (incoming)
- Transition Management Report (incoming)
- Incident Management Report (outgoing)
- Incident Record (outgoing)
- Problem Management Report (outgoing)
- Problem Record (outgoing)
- Request for Change (outgoing)
- Resource Commitment (outgoing)
- Standard Operating Procedures (outgoing)

Continual Service Improvement (Collapsed Subprocess)

Processes for continual quality assurance and improvement of the IT Services.

Organizational Unit
ITSM Disciplines outside Service Transition

Data Objects
- Change Management Report (incoming)
- Change Evaluation Report after Deployment (incoming)
Service Transition according to ITIL® 2011

www.itmprocesses.com

- Discipline specific Know How (incoming)
- Transition Management Report (incoming)
- Recommendation for Process Quality Improvement (incoming)
- Improvement Management Report (outgoing)

Transition Planning and Support (Collapsed Subprocess)
Management tasks for Transition Planning and Support and project management support for the Service Transition.

Organizational Unit
Service Transition

Data Objects
- Change Evaluation Report prior to Realization (incoming)
- Change Record (incoming)
- Change Schedule (incoming)
- Emergency Change Record (incoming)
- Notification of Progress (incoming)
- Approval for Rollout (incoming)
- Release Record (incoming)
- Release Closing (incoming)
- Request for Change (incoming)
- Resource Commitment (incoming)
- Service Design Package (incoming)
- Test Model (incoming)
- Know How relevant Project Information (outgoing)
- Project Order (outgoing)
- Release Record (outgoing)
- Resource Reservation (outgoing)
- Service Transition Plan (outgoing)
- Transition Management Report (outgoing)

Change Management (Collapsed Subprocess)
Management of all changes of the IT Infrastructure and the IT Services.

Organizational Unit
Service Transition

Data Objects
- Change Evaluation Report prior to Planning (incoming)
- Change relevant historical information (incoming)
- Incident Record (incoming)
- Problem Record (incoming)
- Request for Change (incoming)
- **Request for Change** for **Configuration Management System** (incoming)
- **Service Design Package** (incoming)
- **Service Transition Plan** (incoming)
- **Service Catalogue** (incoming)
- Improvement Proposal for **Change Model** (incoming)
- **Change Management Report** (outgoing)
- **Change Record** (outgoing)
- **Change Schedule** (outgoing)
- **Change Information** (outgoing)
- **Change Management Guideline** (outgoing)
- Progress of project obliged to Change Evaluation (outgoing)
- **Planned Service Downtime** (outgoing)
- **Request for Change** (outgoing)
- **Request for Change** for **Configuration Management System** (outgoing)
- **Recommendation for Process Quality Improvement** (outgoing)

**Change Evaluation (Collapsed Subprocess)**
Evaluation of extensive Changes prior to approval of the next life cycle phase.

*Organizational Unit*
Service Transition

*Data Objects*
- Progress of project obliged to Change Evaluation (incoming)
- Release Closing (incoming)
- **Change Evaluation Report** after Deployment (outgoing)
- **Change Evaluation Report** prior to Realization (outgoing)
- **Change Evaluation Report** prior to Planning (outgoing)
- **Change Evaluation Report** prior to Deployment (outgoing)
- Improvement Proposal for **Change Model** (outgoing)

**Release and Deployment Management (Collapsed Subprocess)**
Preparation, planning and realization of Rollouts.

*Organizational Unit*
Service Transition

*Data Objects*
- Acceptance Protocol (incoming)
- **Change Evaluation Report** after Deployment (incoming)
- **Change Evaluation Report** prior to Deployment (incoming)
- **Change Record** (incoming)
- External **Service Contribution** (incoming)
Service Transition according to ITIL® 2011

www.itsmprocesses.com

- External IT Service (incoming)
- Approval for Rollout (incoming)
- Internal Service Contribution (incoming)
- Project Order (incoming)
- Project relevant information (incoming)
- Release Record (incoming)
- Release relevant information (incoming)
- Service Transition Plan (incoming)
- Test Report (incoming)
- Configuration Items (outgoing)
- External Service Contribution (outgoing)
- Progress of project obliged to Change Evaluation (outgoing)
- Notification of Progress (outgoing)
- Internal Service Contribution (outgoing)
- Internal Order (outgoing)
- IT Requirements Requisition (outgoing)
- Know How relevant Release Information (outgoing)
- Release Record (outgoing)
- Release Closing (outgoing)
- Release Guideline (outgoing)
- Request for Change (outgoing)
- Service Design Package (outgoing)
- Service Transition Plan (outgoing)
- Demand for modification of Configuration Management System (outgoing)

Service Validation and Test (Collapsed Subprocess)
Ensuring of the fulfillment of all requirements to the IT Services.

Organizational Unit
Service Transition

Data Objects
- Change Record (incoming)
- Change Schedule (incoming)
- External Service Contribution (incoming)
- Internal Service Contribution (incoming)
- Correction (components, interfaces) (incoming)
- Project Order (incoming)
- Release Record (incoming)
- Service Transition Plan (incoming)
- Acceptance Protocol (outgoing)
- Definitive Media Library (outgoing)
Service Transition according to ITIL® 2011

- Progress of project obliged to Change Evaluation (outgoing)
- Approval for Rollout (outgoing)
- Demand for correction (components, interfaces) (outgoing)
- Release Record (outgoing)
- Request for Change (outgoing)
- Test Report (outgoing)
- Test Model (outgoing)

Service Asset and Configuration Management (Collapsed Subprocess)
Administration of the IT Service Infrastructure (infrastructure, services and service components) within the Configuration Management System.

Organizational Unit
Service Transition

Data Objects
- Configuration Items (incoming)
- Definitive Media Library (incoming)
- Request for Change for Configuration Management System (incoming)
- Demand for modification of Configuration Management System (incoming)
- Definitive Media Library (outgoing)
- Request for Change for Configuration Management System (outgoing)
- Configuration Management Guideline (outgoing)
- Structure of Configuration Management System (outgoing)
- Recommendation for Process Quality Improvement (outgoing)

Application Development and Customizing (Collapsed Subprocess)
Realization respective customization of IT Applications for provision of functionalities of IT Services.

Organizational Unit
Service Transition

Data Objects
- Internal Order (incoming)
- Demand for correction (components, interfaces) (incoming)
- Service Design Package (incoming)
- Service Transition Plan (incoming)
- Test Report (incoming)
- Internal Service Contribution (outgoing)
- Correction (components, interfaces) (outgoing)
End of Life for IT Services (Collapsed Subprocess)

Managed end of provision of IT Services.

Organizational Unit
Service Transition

Data Objects
- Cancellation of usage of IT Service (incoming)
- Archiving Requirement (outgoing)
- Update Service Catalogue (outgoing)
- Update Service Portfolio (outgoing)
- Update Supplier Contract (outgoing)

Knowledge Management (Collapsed Subprocess)

Coordinated management of the know how of the IT organization (acquisition, retrieval and provision).

Organizational Unit
Service Transition

Data Objects
- Availability Management Report (incoming)
- Capacity Management Report (incoming)
- Change Management Report (incoming)
- Change Management Guideline (incoming)
- Improvement Management Report (incoming)
- Incident Management Report (incoming)
- IT Supplier Strategy (incoming)
- IT Procurement Guideline (incoming)
- IT Service Continuity Report (incoming)
- Know How relevant Project Information (incoming)
- Know How relevant Release Information (incoming)
- Problem Management Report (incoming)
- Recovery Plan (incoming)
- Release Guideline (incoming)
- Configuration Management Guideline (incoming)
- Risk Log (incoming)
- Security Management Report (incoming)
- Service Level Report (incoming)
- Service Level Report (Supplier) (incoming)
- Service Catalogue (incoming)
- Service Portfolio (incoming)
- Service Strategy (incoming)
- Standard Operating Procedures (incoming)
- Company Strategy (incoming)
Service Transition according to ITIL® 2011

- **Supplier Service Level Report** (incoming)
- **Transition Management Report** (incoming)
- Change relevant historical information (outgoing)
- Discipline specific Know How (outgoing)
- Project relevant information (outgoing)
- Release relevant Information (outgoing)
4.3 Subprocesses of Service Transition

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

- Transition Planning and Support
  - Transition Planning and Support - Interfaces
  - Project Setup
  - Project Planning
  - Project Execution and Controlling
  - Transition Reporting

- Change Management
  - Change Management - Interfaces
  - Organization of Change Management
  - Registration and Classification of Changes
  - Valuation of Changes
  - Change Planning
  - Change Review and Reporting

- Change Evaluation
  - Change Evaluation - Interfaces
  - Change Evaluation prior to Planning
  - Change Evaluation prior to Realization
  - Change Evaluation prior to Deployment
  - Change Evaluation after Deployment

- Release and Deployment Management
  - Release and Deployment Management - Interfaces
  - Organization of Release and Deployment Management
  - Release Setup
  - Rollout of Releases
  - Startup Support and Closing of Releases
  - Minor Releases
Service Transition according to ITIL® 2011

- Service Validation and Test
  o Service Validation and Test - Interfaces
  o Definition of Test Procedures
  o Component Tests
  o Integration Test
  o Acceptance Test

- Service Asset and Configuration Management
  o Service Asset and Configuration Management - Interfaces
  o Organization of Service Asset and Configuration Management
  o Configuration Management Audit and Reporting

- Application Development and Customizing
  o Application Development and Customizing - Interfaces
  o Application Development and Customizing

- End of Life for IT Services
  o End of Life for IT Services - Interfaces
  o End of Life for IT Services

- Knowledge Management
  o Knowledge Management - Interfaces
  o Knowledge Management
Change Management is responsible for the evaluation, approval and monitoring of the controlled execution of changes to the IT Service Portfolio.

This contains basically the following subprocesses:

- Organization of Change Management
- Registration and Classification of Changes
- Valuation of Changes
- Change Planning
- Change Review and 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.
4.3.2.4 Valuation of Changes
Process Details

Process Responsible: Change Manager
Process Content: Release or denial of changes respective triggering of priority activities for urgent changes.
Process Goal: Rule conforming release or denial of Changes including transfer to Change Schedule and special handling of Emergency Changes as well.
ISO20000 relevant: yes
ISO9000ff relevant: yes
SOX relevant: yes

Involved Organizational Units and Roles

Change Manager
Change Advisory Board
Emergency Change Advisory Board
Change Owner
IT Manager
Project Manager
Release Manager
Supplier Manager
Test Manager
Service Owner
IT Operation

Process Flow

Change classified *(Start Signal Event)*

Organizational Unit
Change Manager

Emergency ? *(Data Based Exclusive Gateway)*

Organizational Unit
Change Manager

Condition
"no"
"yes"

Subsequent Element
CAB ? (Data Based Exclusive Gateway)
Define required ECAB members (Task)
Define required ECAB members (Task)
The required members of the Emergency Change Advisory Board depending on the Emergency Change are selected from the list of members of the Change Advisory Board.

Organizational Unit
Change Manager

Schedule ECAB meeting (Task)
The date for the Emergency Change Advisory Board Meeting is scheduled as soon as possible.

Organizational Unit
Change Manager

Prepare ECAB meeting (Task)
The necessary documents for the meeting participants' preparation are created and distributed.

Organizational Unit
Change Manager

Glossary Item
Emergency Change Advisory Board (Organization)

Agenda and meeting documents (End Message Event)

Organizational Unit
Change Manager

CAB ? (Data Based Exclusive Gateway)

Organizational Unit
Change Manager

Condition
"no"
"yes"

Subsequent Element
Evaluate effects of the Change (Task)
Prepare CAB meeting (Task)

Prepare CAB meeting (Task)
The necessary documents for the meeting participants' preparation are created and distributed.

Organizational Unit
Change Manager

Accompanying Documents
- Checklist Change Advisory Board Agenda (Document)
Organizational Unit
Change Manager

Evaluate effects of the Change (Task)
The effects of the implementation of the requested Change are analyzed regarding the dependencies:

- with other Changes
- with the IT Services
- with the IT Infrastructure (Configuration Items)
- with available resources (if necessary under involvement of additional experts).

Organizational Unit
Change Manager

Additional Participants
- Service Owner

Evaluate urgency of the Change (Task)
Commercial and technical effects of a delay of the implementation of the requested Change are evaluated.

Organizational Unit
Change Manager

Evaluate effects of cancellation of the Change (Task)
Commercial and technical effects of a denial of the implementation of the requested Change are evaluated.

Organizational Unit
Change Manager

Evaluate requested schedule (Task)
Check for miscellaneous possible problems with the requested realization schedule.

Organizational Unit
Change Manager

Identify Project Manager (Task)
The Project Manager is defined based upon the requirements of the Change (if necessary under involvement of required decision makers).

Organizational Unit
Change Manager
Additional Participants
- Change Owner
- IT Manager
- Project Manager
- Release Manager

Modifications necessary? *(Data Based Exclusive Gateway)*

<table>
<thead>
<tr>
<th>Condition</th>
<th>Subsequent Element</th>
</tr>
</thead>
<tbody>
<tr>
<td>&quot;no&quot;</td>
<td>Change ready for approval? <em>(Data Based Exclusive Gateway)</em></td>
</tr>
<tr>
<td>&quot;yes&quot;</td>
<td>Coordinate necessary modifications (Task)</td>
</tr>
</tbody>
</table>

Coordinate necessary modifications *(Task)*

If the previous analysis shows a necessary modification of the Change this is clarified with the requestor of the Change.

<table>
<thead>
<tr>
<th>Organizational Unit</th>
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<tbody>
<tr>
<td>Change Manager</td>
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<table>
<thead>
<tr>
<th>Condition</th>
<th>Subsequent Element</th>
</tr>
</thead>
<tbody>
<tr>
<td>&quot;no&quot;</td>
<td>Document refusal of Change (Task)</td>
</tr>
<tr>
<td>&quot;yes&quot;</td>
<td>Check for necessary escalation (Task)</td>
</tr>
</tbody>
</table>

Change ready for approval? *(Data Based Exclusive Gateway)*

<table>
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<tr>
<td>&quot;no&quot;</td>
<td>Document refusal of Change (Task)</td>
</tr>
<tr>
<td>&quot;yes&quot;</td>
<td>Check for necessary escalation (Task)</td>
</tr>
</tbody>
</table>

Check for necessary escalation *(Task)*

Based upon the previous evaluation of the Change a necessary escalation for approval is checked.

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<th>Organizational Unit</th>
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<td>Change Manager</td>
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Escalation? *(Data Based Exclusive Gateway)*

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<th>Organizational Unit</th>
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<td>Change Manager</td>
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<table>
<thead>
<tr>
<th>Condition</th>
<th>Subsequent Element</th>
</tr>
</thead>
<tbody>
<tr>
<td>&quot;no&quot;</td>
<td>Approval of Change for processing (Task)</td>
</tr>
<tr>
<td>&quot;yes&quot;</td>
<td>Obtain approval from escalation level (Task)</td>
</tr>
</tbody>
</table>
Obtain approval from escalation level \textit{(Task)}
The approval is requested from the escalation level management.

\textbf{Organizational Unit}
Change Manager

\textbf{Approval ? \textit{(Data Based Exclusive Gateway)}}

\begin{tabular}{|l|l|}
\hline
Condition & Subsequent Element \\
\hline
"no" & Document explanation of denial (Task) \\
"yes" & Approval of Change for processing (Task) \\
\hline
\end{tabular}

\textbf{Document explanation of denial \textit{(Task)}}
The explanation of the denial of approval by the escalation level management is documented.

\textbf{Organizational Unit}
Change Manager

\textbf{Approval of Change for processing \textit{(Task)}}
The Change is formally approved respective dedicated to Change Evaluation.

\textbf{Organizational Unit}
Change Manager

\textbf{Scheduled meeting date of the Change Advisory Board \textit{(Start Timer Event)}}

\textbf{Organizational Unit}
Change Advisory Board

\textbf{Agenda and meeting documents \textit{(Start Message Event)}}

\textbf{Organizational Unit}
Change Advisory Board

\textbf{Evaluate effects of the Change \textit{(Task)}}
The effects of the implementation of the requested Change are analyzed regarding the dependencies:
- with other Changes
- with the IT Services
- with the IT Infrastructure \textit{(Configuration Items)}
- with available resources
  (if necessary under involvement of additional experts).
Organizational Unit
Change Advisory Board

Additional Participants
- Service Owner

Evaluate urgency of the Change (Task)
Commercial and technical effects of a delay of the implementation of the requested Change are evaluated.

Organizational Unit
Change Advisory Board

Evaluate effects of cancellation of the Change (Task)
Commercial and technical effects of a denial of the implementation of the requested Change are evaluated.

Organizational Unit
Change Advisory Board

Evaluate requested schedule (Task)
Check for miscellaneous possible problems with the requested realization schedule.

Organizational Unit
Change Advisory Board

Identification of Project Manager by CAB (Task)
The Project Manager is defined by CAB based upon the requirements of the Change (if necessary under involvement of required decision makers).

Organizational Unit
Change Advisory Board

Additional Participants
- Change Owner
- Project Manager

Modifications necessary ? (Data Based Exclusive Gateway)

Organizational Unit
Change Advisory Board

<table>
<thead>
<tr>
<th>Condition</th>
<th>Subsequent Element</th>
</tr>
</thead>
<tbody>
<tr>
<td>&quot;no&quot;</td>
<td>Change ready for approval ? (Data Based Exclusive Gateway)</td>
</tr>
<tr>
<td>&quot;yes&quot;</td>
<td>Coordinate necessary modifications (Task)</td>
</tr>
</tbody>
</table>
Coordinate necessary modifications *(Task)*  
If the previous analysis shows a necessary modification of the Change this is clarified with the requestor of the Change.  

*Organizational Unit*  
Change Advisory Board  

*Additional Participants*  
• Change Owner  

**Change ready for approval ? *(Data Based Exclusive Gateway)***  

*Organizational Unit*  
Change Advisory Board  

<table>
<thead>
<tr>
<th>Condition</th>
<th>Subsequent Element</th>
</tr>
</thead>
<tbody>
<tr>
<td>&quot;no&quot;</td>
<td>Denial of the Change <em>(Task)</em></td>
</tr>
<tr>
<td>&quot;yes&quot;</td>
<td>Freigabe des Changes <em>(Task)</em></td>
</tr>
</tbody>
</table>

**Denial of the Change *(Task)***  
Change is refused and this is documented in the *CAB* meeting minutes.  

*Organizational Unit*  
Change Advisory Board  

**Change denied by CAB *(End Message Event)***  

*Organizational Unit*  
Change Advisory Board  

**Approval of the Change *(Task)***  
The Change is formally approved and this is documented in the *CAB* meeting minutes.  

*Organizational Unit*  
Change Advisory Board  

**Change approved by CAB *(End Message Event)***  

*Organizational Unit*  
Change Advisory Board  

**Agenda and meeting documents *(Start Message Event)***  

*Organizational Unit*  
Emergency Change Advisory Board
Evaluate effects of the Change (Task)
The effects of the implementation of the requested Change are analyzed regarding the dependencies:

- with other Changes
- with the IT Services
- with the IT Infrastructure (Configuration Items)
- with available resources
  (if necessary under involvement of additional experts).

Organizational Unit
Emergency Change Advisory Board

Evaluate effects of cancellation of the Change (Task)
Commercial and technical effects of a denial of the implementation of the requested Change are evaluated.

Organizational Unit
Emergency Change Advisory Board

Identification of Project Manager by ECAB (Task)
The Project Manager is defined by ECAB based upon the requirements of the Change
(if necessary under involvement of required decision makers).

Organizational Unit
Emergency Change Advisory Board

Additional Participants
- Change Owner
- Project Manager

Modifications necessary ? (Data Based Exclusive Gateway)

Organizational Unit
Emergency Change Advisory Board

<table>
<thead>
<tr>
<th>Condition</th>
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</tr>
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<tbody>
<tr>
<td>&quot;no&quot;</td>
<td>Allocate resources (Task)</td>
</tr>
<tr>
<td>&quot;yes&quot;</td>
<td>Coordinate necessary modifications (Task)</td>
</tr>
</tbody>
</table>

Coordinate necessary modifications (Task)
If the previous analysis shows a necessary modification of the Change this is clarified with the requestor of the Change.

Organizational Unit
Emergency Change Advisory Board

Additional Participants
- Change Owner
Allocate resources (Task)
The resources required for the implementation of the Emergency Change are defined and their availability is coordinated.

Organizational Unit
Emergency Change Advisory Board

Additional Participants
- Project Manager
- Release Manager
- Supplier Manager
- Test Manager

Define schedule (Task)
The schedule for the implementation of the Emergency Change is defined.

Organizational Unit
Emergency Change Advisory Board

Additional Participants
- Project Manager
- Release Manager
- Supplier Manager
- Test Manager

Decision about implementation (Task)
Based upon the previous analysis of the effects of the implementation respective cancellation of the Emergency Change and the availability of resources the decision about the implementation is made.

Organizational Unit
Emergency Change Advisory Board

Change ready for approval? (Data Based Exclusive Gateway)

<table>
<thead>
<tr>
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<tbody>
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<td>&quot;no&quot;</td>
<td>Denial of the Change (Task)</td>
</tr>
<tr>
<td>&quot;yes&quot;</td>
<td>Approval of the Change (Task)</td>
</tr>
</tbody>
</table>

Denial of the Change (Task)
The Change is refused and this is documented in the ECAB meeting minutes.

Organizational Unit
Emergency Change Advisory Board
Change denied by ECAB *(End Message Event)*

*Organizational Unit*

Emergency Change Advisory Board

**Approval of the Change (Task)**

The Change is formally approved and this is documented in the ECAB meeting minutes.

*Organizational Unit*

Emergency Change Advisory Board

Change approved by ECAB *(End Message Event)*

*Organizational Unit*

Emergency Change Advisory Board

Change denied by CAB *(Start Message Event)*

*Organizational Unit*

Change Manager

**Glossary Item**

Change Advisory Board *(Organization)*

Change denied by ECAB *(Start Message Event)*

*Organizational Unit*

Change Manager

**Glossary Item**

Emergency Change Advisory Board *(Organization)*

**Document refusal of Change (Task)**

The reasons for the refusal of the Change are documented.

*Organizational Unit*

Change Manager

**Communicate refusal of Change (Task)**

The refusal of the Change and the reasons therefore are communicated to the requestor.

*Organizational Unit*

Change Manager

**Change refused (End Event)**

*Organizational Unit*

Change Manager
Change approved by CAB (Start Message Event)

Organizational Unit
Change Manager

Glossary Item
Change Advisory Board (Organization)

Create Change Record (Task)
Based upon the Request for Change the associated Change Record is created.

Organizational Unit
Change Manager

Data Repositories
Change Management Database

Document approval of Change (Task)
The approval of the Change is documented in the Change Record.

Organizational Unit
Change Manager

Communicate approval of Change (Task)
The approval of the Change is communicated to the requestor.

Organizational Unit
Change Manager

Change released for scheduling (Signal-End Event)
Organizational Unit
Change Manager

Change approved by ECAB (Start Message Event)
Organizational Unit
Change Manager

Glossary Item
Emergency Change Advisory Board (Organization)

Create Change Record (Task)
Based upon the Request for Change the associated Change Record is created.

Organizational Unit
Change Manager

Data Repositories
Change Management Database
Document approval of Change (Task)
The approval of the Change is documented in the Change Record.

Organizational Unit
Change Manager

Communicate approval of Change (Task)
The approval of the Change is communicated to the requestor.

Organizational Unit
Change Manager

Handover to Project Management (Task)
The Emergency Change is handed over to Project Management for implementation according to prior planning.

Organizational Unit
Change Manager

Emergency Change handed over for implementation (End Message Event)

Organizational Unit
Change Manager

Involved IT Systems

- Change Management Database
5 Glossary

5.1 Process Documents in Service Transition

**Availability Management Report**

The Availability Management Report informs the other ITSM functions about the availability of IT Services and IT Infrastructure.

*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.

**Business Continuity Strategy**

The Business Continuity Strategy describes the arrangements for the retention respective fastest possible re-establishment of business critical processes of the company in case of disaster. It is part of the company strategy and provides important input for the IT Service Continuity Strategy.

**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 Evaluation Report**

The Change Evaluation Report documents the results of the different steps of Change Evaluation:

- prior to planning
- prior to realization
- prior to deployment
- after deployment.

**Change Information**

The Change Information contains all information worth knowing about planned and ongoing Changes, especially Planned Service Outages provided for the other ITSM Disciplines and the IT Service Consumers.
Change Management Guideline

The Change Management Guideline (Change Policy) contains the rules for intake, evaluation, prioritization and approval of Changes (Change Release Hierarchy) either by the Change Manager or the Change Advisory Board (CAB), the handling of Emergency Changes by the Emergency Change Advisory Board (EACB) and the validation and documentation of Changes during Post Implementation Reviews (PIR). Additionally the rules for extensive Changes that have to pass the processes of Change Evaluation are documented here.

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 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.

Change Release Hierarchy

The Change Release Hierarchy defines who is entitled to release (approve) a submitted Change depending on its criticality (risks). The Change Release Hierarchy is part of the Change Management Guideline.

Change Schedule

The Change Schedule (Forward Schedule of Changes) contains the planning of all approved Changes including their accompanying information and dependencies.

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.
Configuration Management Audit Protocol

The report of the audit of the Configuration Management System (Configuration Management Audit Protocol) informs about the results of the Configuration Management Audits including:

- detected differences between the Configuration Item Records and installed Configuration Items
- evaluation of the usefulness of the structure of the Configuration Management System
- actuality and completeness of the Definitive Media Library.

Applicable Documents

- Checklist Configuration Management Audit Protocol

Configuration Management Guideline

The Configuration Management Guideline defines who is entitled to change the structure and the content 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

Definitive Media Library

The Definitive Media Library is the infrastructure (locations and storage equipment there) where the latest versions of released Software Configuration Items are stored in a protected environment. This also includes software licenses and documentations. Asset and Configuration Management is responsible for the Definitive Media Library while the content is maintained by Change and Release Management. It is documented in the Configuration Management System.

Emergency Procedure

Emergency Procedures define all activities for the fastest possible restore of operation of IT Systems after emergency situations (disasters, complete breakdown of IT Services or locations, aso.). This restore has normally two steps:

- recovery of a life-sustaining minimal operation
- recovery of full operation.

Improvement Management Report

The Improvement 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
Incident Record

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

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 Procurement Guideline

The IT Procurement Guideline specifies the terms and conditions for requesting external IT Suppliers and IT Services for the Demand Carriers and for providing such Supplies and Services for the Suppliers. It contains beside others:

- a register of standard suppliers for IT Supplies and IT Services
- a catalogue of standard supplies and services with respective procurement terms and conditions

During a purchasing activity it is supplemented by the common procurement terms of the company.

IT Security Guideline

The IT Security Guideline defines mandatory rules for the utilization of IT Services and IT Systems for maintenance of an appropriate security level and for security controls.

IT Service Continuity Report

The IT Service Continuity Report informs about the actual status of Contingency Planning and the actual Emergency Procedures.

IT Supplier Strategy

The IT Supplier Strategy describes the rules for the selection of Suppliers for IT Supplies and IT Services and the frame conditions for such supplies.

Known Error

A Known Error is a Problem whose cause is known and documented including a documented Workaround (as far as available).

Minor Release

A Minor Release is a Release with low risk according to the following criteria:

- not business critical
- no data take-over required
- no involvement of Service Validation and Test required
- no acceptance test by the user required.
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

Planned Service Outage

Planned Service Outages due to the implementation of Changes by Service Transition. These Planned Service Outages are normally within the maintenance time frames according to the Service Level Agreements and thus do not reduce the contractual agreed Availability of the respective IT Services.

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.

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.

Project Order

The Project Order contains the relevant description of the project:

- project name
- principal
- project start and end
- short description, business demand and goals
- expected project results
- project budget
- project manager
- project team (resources)
- assumptions and limitations
- resource allocation
- target deadline.

Approval of the Project Order is the start of the project realization.
Purchase Order
The Purchase Order is the binding order to the Supplier to deliver the goods and/or services specified in the purchase order under the conditions described there respective in accompanying related documents.

Recovery Plan
The Recovery Plan describes activities and procedures for the restart of IT Services after emergency situations referring to Emergency Procedures.

Release Guideline
The Release Guideline describes the organizational and technical rules for the transfer of a Release to the production environment regarding the criticality and priority of the Releases to ensure an optimal approach.

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.

Release Record
The Release Record documents the complete lifecycle of a Transition Project.

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

Risk Log
The Risk Log is a rated catalogue of identified risks and accordingly defined activities for minimization and mitigation.

Security Management Report
The Security Management Report provides information about security relevant occurrences and activities and about the security situation of the IT Organization.

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 Evaluation Report

The Service Evaluation Report documents the results of the service evaluation reviews with

- weaknesses
- technical and economical optimization potentials.

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 Arrangement

Service Level Arrangements cover all service level relevant agreements and contracts:

- Service Level Agreements
- Operational Level Agreements
- Underpinning Contracts.

Service Level Arrangements Catalogue

The Service Level Agreements Catalogue contains all actual Service Level Contracts including:

- Service Level Agreements
- Operational Level Agreements
- Underpinning Contracts

referring to the IT Service Consumers.

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.

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 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 Agreement.

Applicable Documents

Checklist Service Level Requirement

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 Consumers 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 Strategy

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

Service Transition Plan

The Service Transition Plan is the project plan mandatory and released for all ITSM Disciplines involved in Service Transition including results-, milestone-, activity-, resource- and cost planning.

Applicable Documents

- Checklist Release Plan

Standard Change

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

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.

Supplier Service Level Report

The Supplier Service Level Report describes the achieved performance of Suppliers compared to the agreed performance described in Supplier Contracts or Purchase Orders. Furthermore the recognized weaknesses and activities to improve performance or even possible contract cancellations form the Supplier Reviews are documented.

Template Request for Change

The Template for the Request for Change is used to collect all necessary information for the evaluation, classification and prioritization of a Change. All information defined as mandatory has to be provided completely to release a Request for Change.

Test Model

Test models define the whole tests (timeframe, content, scope) of a Release Deployment to the production environment.
Transition Management Report
The Transition Management Report contains information about all active and planned Transition Projects (status, milestones, finish).

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.

Underpinning Contract
An Underpinning Contract is a contract between the IT Service Provider and an external service supplier about the provision of Service Contributions. It defines besides others:

- description of the Service Contribution
- service level goals
- 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 Transition

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

**IT**
The responsible Service Provider.

**IT Applications**
The organizational unit or group inside the IT who is in charge for development, maintenance and support for IT Applications.

**IT Operation**
The organizational unit or group inside the IT who is in charge for the IT operation (infrastructure, operational services).
5.3  Involved Roles in Service Transition

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 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, 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.

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 (CI)) 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).

Change Owner

The Change Owner is the authorized requestor of a change.

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.

Configuration Manager

The Configuration Manager provides information about the IT Services and IT Infrastructure (IT Assets) utilized by IT Service Management. For this purpose he/she maintains a logical model containing

- the components of the IT Services (Configuration Items (CIs))
- their associations and dependencies. This logical model is maintained in one or more databases (Configuration Management Database (CMDB)), beeing part of the Configuration Management System.

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.

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 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 Operator
IT Operators are the staff who performs the ongoing operational activities:
- manual event monitoring
- performing backups
- ensuring that scheduled jobs are performed
- installation of standard equipment
- aso.

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

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.
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.

Knowledge Manager

The Knowledge Manager ensures that the IT organization is always able to collect, analyze, classify, store and provide knowledge and information in an adjusted to the needs manner. His/her primary goal is to improve efficiency by reducing the need to rediscover already existing knowledge.

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.

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.

Release Manager

The Release Manager is responsible for planning, controlling and execution of rollouts from development to test to the live environments. His/her primary objective is to ensure that the integrity of the live environment is protected and that only beforehand tested components are released.
Risk Manager
The Risk Manager is responsible for identifying, assessing and controlling risks. This includes the
- analysis of criticality of IT Assets for the business
- analysis of possible threats for separate IT Assets
- evaluation of occurrence probability for different threats
- evaluation of occurrence effects for different threats
- definition of risk monitoring procedures
- definition of risk avoidance activities.

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 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 Transition Manager
The Service Transition Manager coordinates the subprocesses of Service Transition:
- Transition Planning and Support
- Change Management
- Release and Deployment Management
- Servicevalidation 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.

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.

Solution Developer
The Solution Developer is responsible for providing IT applications and IT systems which grant the required functionality for IT Services. This includes the development and maintenance of custom applications as well as the customization of standard software products, both including all necessary documentation.

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.

Test Manager
The Test Manager ensures that systems and system components meet the specified requirements in terms of
functionality
integration
interoperability
usability
documentation
operation.
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 Service Transition

**Change Management Database**

The database of Change Management documenting all relevant information (Change Records) of all stages of the life cycle of Changes.

**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.

**Logistics System**

The IT System of materials management and procurement. Normally it is part of the integrated ERP System (Enterprise Resource Planning).

**Operational System**

The Operational Systems contain the whole of IT Systems of the enterprise which provide the functionality for the IT Services.

**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.
### 6.2 Responsibility Assignment Matrix for Change Management

<table>
<thead>
<tr>
<th>Diagram</th>
<th>Activity</th>
<th>Change Advisory Board</th>
<th>Change Owner</th>
<th>Emergency Change Advisory</th>
<th>Emergency Change Manager</th>
<th>IT Change Manager</th>
<th>Project Manager</th>
<th>Service Manager</th>
<th>Sub-Manager</th>
<th>Team Manager</th>
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**Legend:**
- **R:** Responsible
- **A:** Accountable
- **C:** Consulted
- **I:** Informed
- **X:** Participates