



Standards for lightweight  
IT service management

## FitSM Service Planning & Delivery (SPD)

Advanced training in service planning and delivery according to FitSM

Version 3.4.2



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## Purpose of this training

- Repeat the most important Foundation knowledge on IT Service Management (ITSM) according to FitSM
- Create understanding of:
  - the **general aspects** of implementing ITSM according to FitSM-1 and FitSM-2
  - the **roles** in a service management system according to FitSM-3
  - the **processes and activities** to plan and deliver services effectively according to FitSM-1 and FitSM-2
- Achieve the ***Advanced Level Certificate in Service Planning and Delivery*** according to FitSM

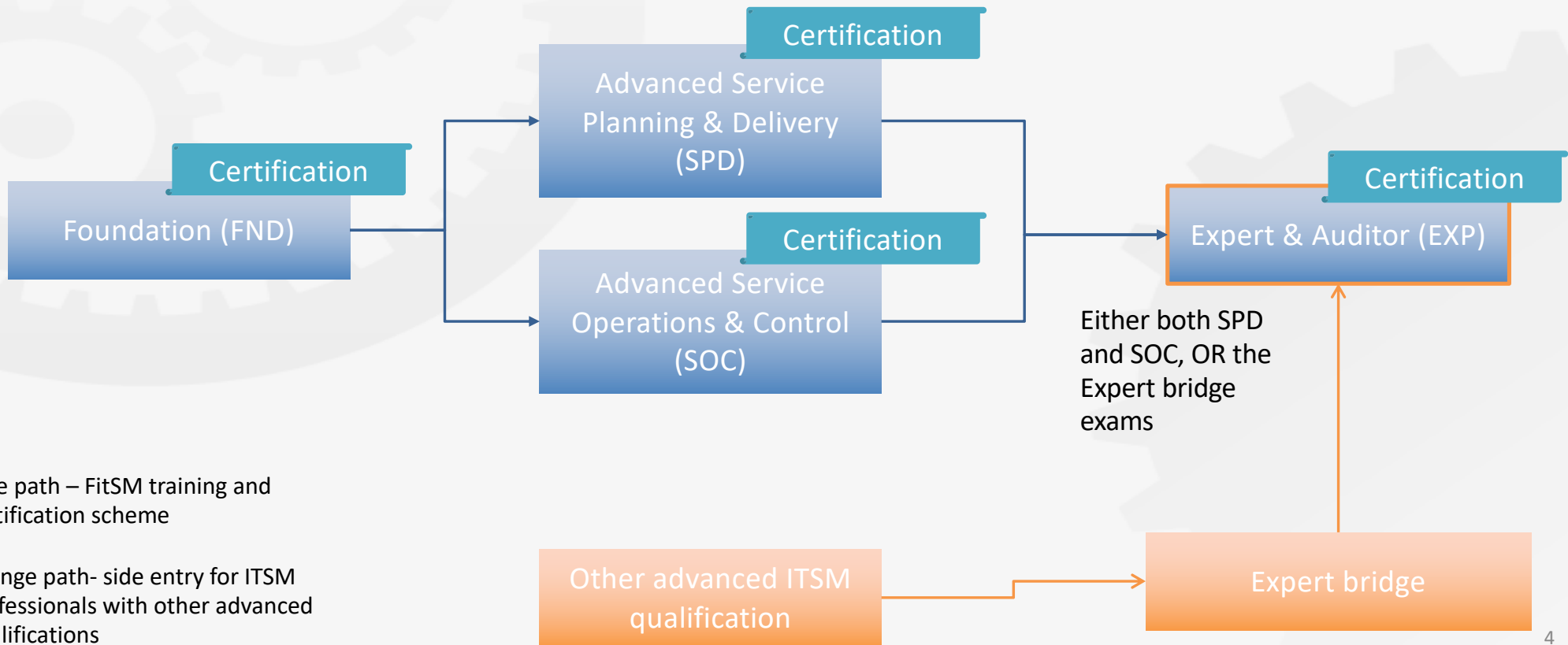


## FitSM Advanced Level exam

- At the end of this training
- Closed book, i.e. no aids are allowed
- Duration: 60 minutes
- 30 multiple choice questions:
  - Four possible answers for each question: A, B, C or D
  - One correct answer per question
- At least 70% correct answers (21 of 30) are required to pass the examination



# FitSM qualification program



Blue path – FitSM training and certification scheme

Orange path- side entry for ITSM professionals with other advanced qualifications



## Training agenda

- **FitSM Foundation wrap-up & ITSM basics**
- General aspects of establishing a service management system
- Roles in a service management system
- ITSM processes for service planning and delivery (SPD)

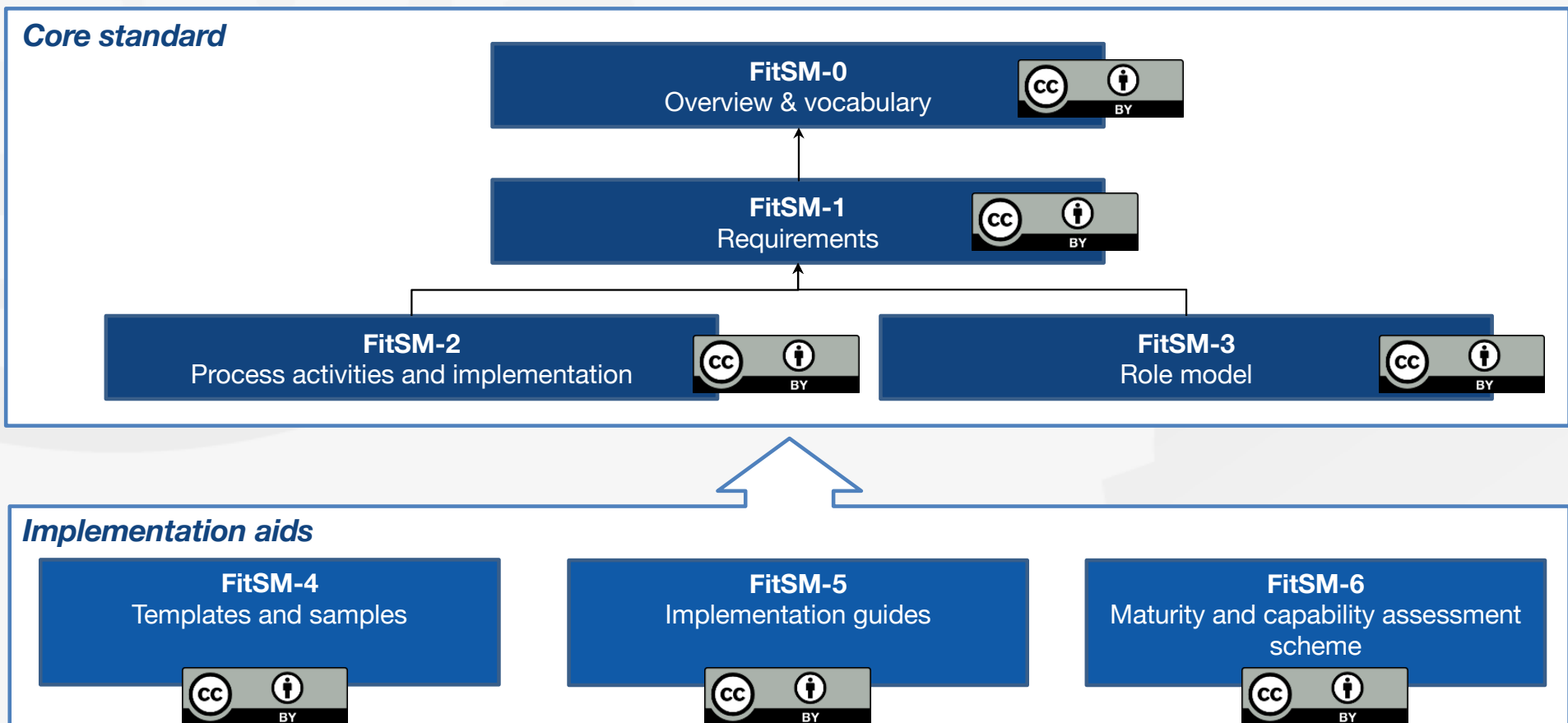


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## FitSM Foundation wrap-up & ITSM basics

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# FitSM parts



# The FitSM approach



The key principles of the FitSM approach to managing IT services:

Practicality

Consistency

Sufficiency

Extendibility

The foundation for systematic IT Service Management:

Service- and  
customer-orientation

Process-orientation

Continual  
improvement

# FitSM key principles



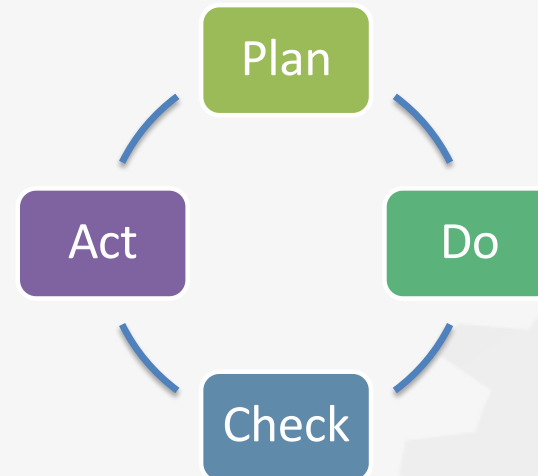
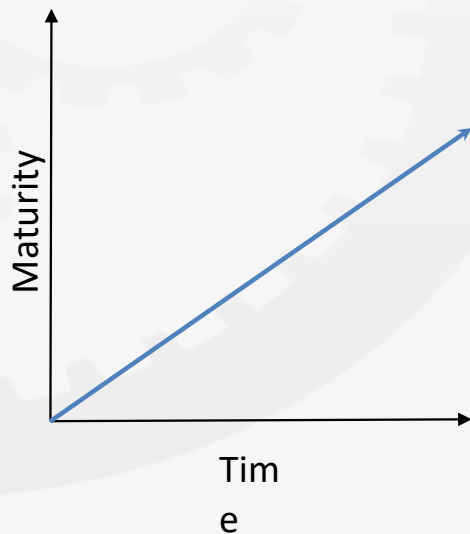
Principle	Explanation
<b>Practicality</b>	Apply simple, proven guidance instead of drowning in theoretical best practices
<b>Consistency</b>	Repeatable performance before detailed documentation
<b>Sufficiency</b>	Good enough and working over seeking the perfect solution
<b>Extendibility</b>	Leverage many sources of knowledge rather than live in a walled garden

# ITSM principles



Principle	Explanation
<b>Service- and customer-orientation</b>	<p>IT-driven solutions provided to customers and users are arranged as services and provided according to clearly defined service levels.</p> <p>Services are aligned to the needs and expectations of (potential) customers. Both the service provider and customer are aware of agreed service targets.</p>
<b>Process-orientation</b>	<p>Activities required to plan, deliver, operate and control services are carried out as part of well-understood and effective processes.</p>
<b>Continual improvement</b>	<p>The entire service management system follows the plan-do-check-act approach.</p> <p>All processes and activities necessary to manage IT services as well as the services themselves are subject to evaluation, aimed at identifying opportunities for improvement and taking appropriate follow-up actions.</p>

## ITSM principles: Plan-Do-Check-Act cycle (PDCA)



- Quality management approach according to W. E. Deming
- Key principle: continual improvement
- Plan-Do-Check-Act can be applied to the whole service management system

# Service and value



- A service ...
  - ... is an intangible good delivered by a **service provider** to **customers**
  - ... is something that provides **value** to the customers by helping them achieve their goals
  - ... is typically a standalone deliverable that is provided



**What** does the service do?

**How** (e.g. regarding reliability, performance etc.) does a service need to be delivered in order to help the customers achieve their goals?



# What is a service?

Definition following FitSM-0:

**Service:**

A way to provide value to customers through bringing about results that they want to achieve

Examples of IT services:

- Provision of standard desktop workstations
- Connectivity: E-Mail, LAN, internet access
- Provision of computational resources
- Provision of standard and special applications
- Storage, backup, archival storage

Definition following FitSM-0:

**Service provider:**

Organisation or federation (or part of an organisation or federation) that manages and delivers a service or services to customers



# What is a service?

Definition following FitSM-0:

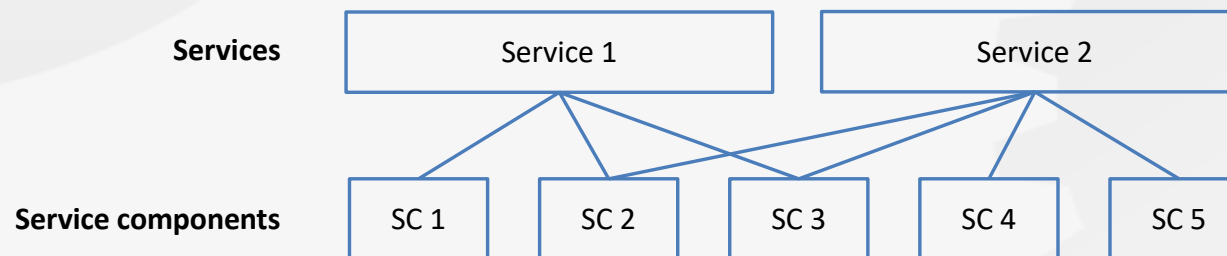
## Service component:

Logical part of a service that provides a function enabling or enhancing a service

Note 1: A service is usually composed of several service components.

Note 2: A service component is usually built from one or more configuration items (CIs).

Note 3: Although a service component underlies one or more services, it usually does not create value for a customer alone and is therefore not a service by itself.



# The Service Management System (SMS)



Definition following FitSM-0:

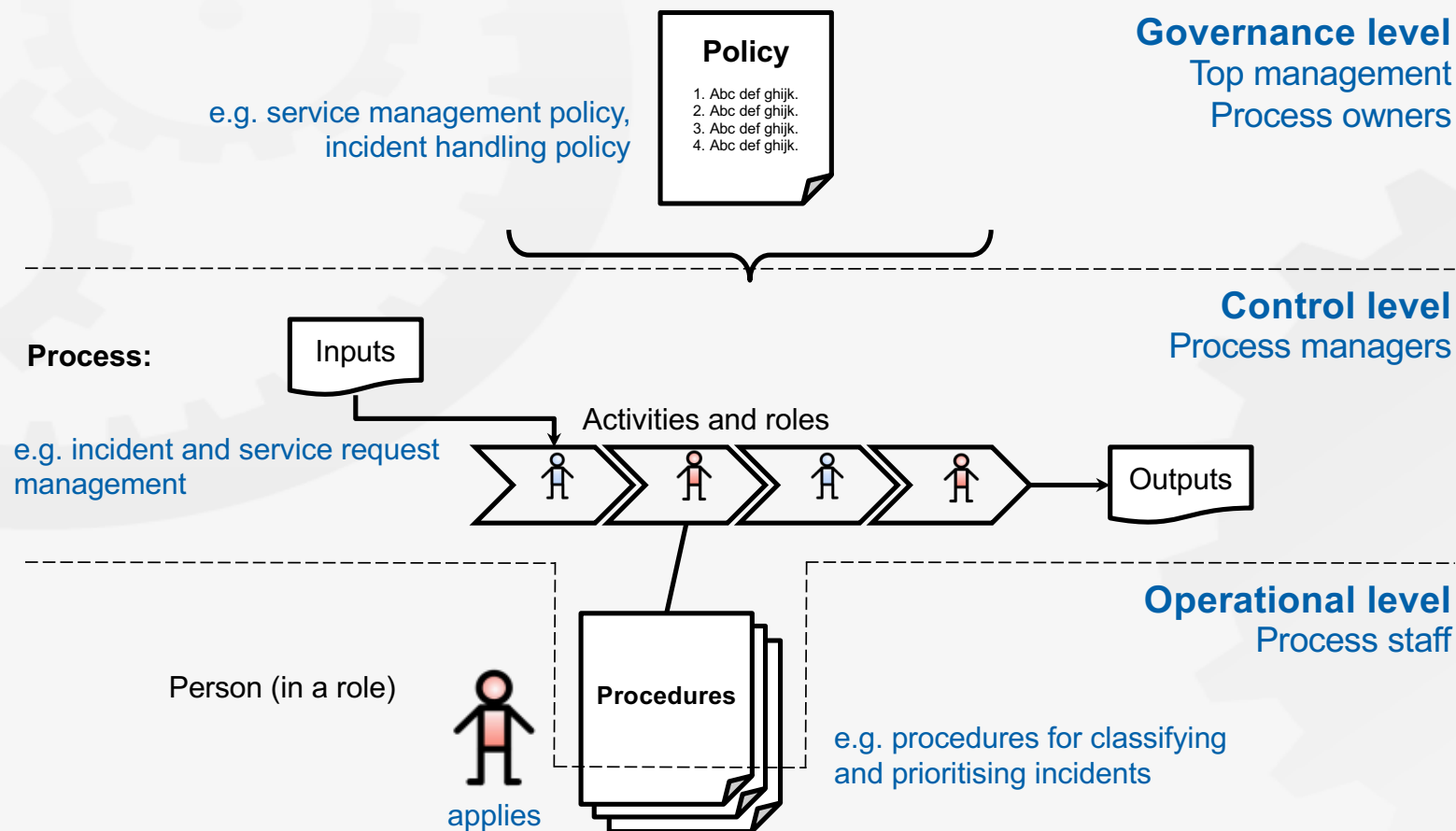
## **Service Management System (SMS):**

Overall management system that controls and supports management of services within an organisation or federation

Note: The SMS can be regarded as the entirety of interconnected policies, processes, procedures, roles, agreements, plans, related resources and other elements needed and used by a service provider to effectively manage the delivery of services to customers.



# Service management system (SMS): Overview



# Key SMS terms



## Definition following FitSM-0:

### **Policy:**

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

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

## Definition following FitSM-0:

### **Process:**

Structured set of activities, with clearly defined responsibilities, that bring about a specific objective or set of results from a set of defined inputs

Note: Generally, a process consists of a number of activities used to manage services, if the process is part of a service management system (SMS).

## Definition following FitSM-0:

### **Procedure:**

Specified set of steps or instructions to be carried out by an individual or group to perform one or more activities of a process

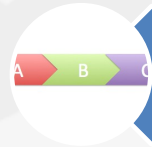
# Most important elements of a process



Goal(s), objectives



Clearly defined inputs, triggers and outputs



Set of interrelated activities  
(across different functions)



Roles and responsibilities

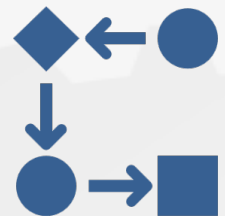


Measurements and KPIs

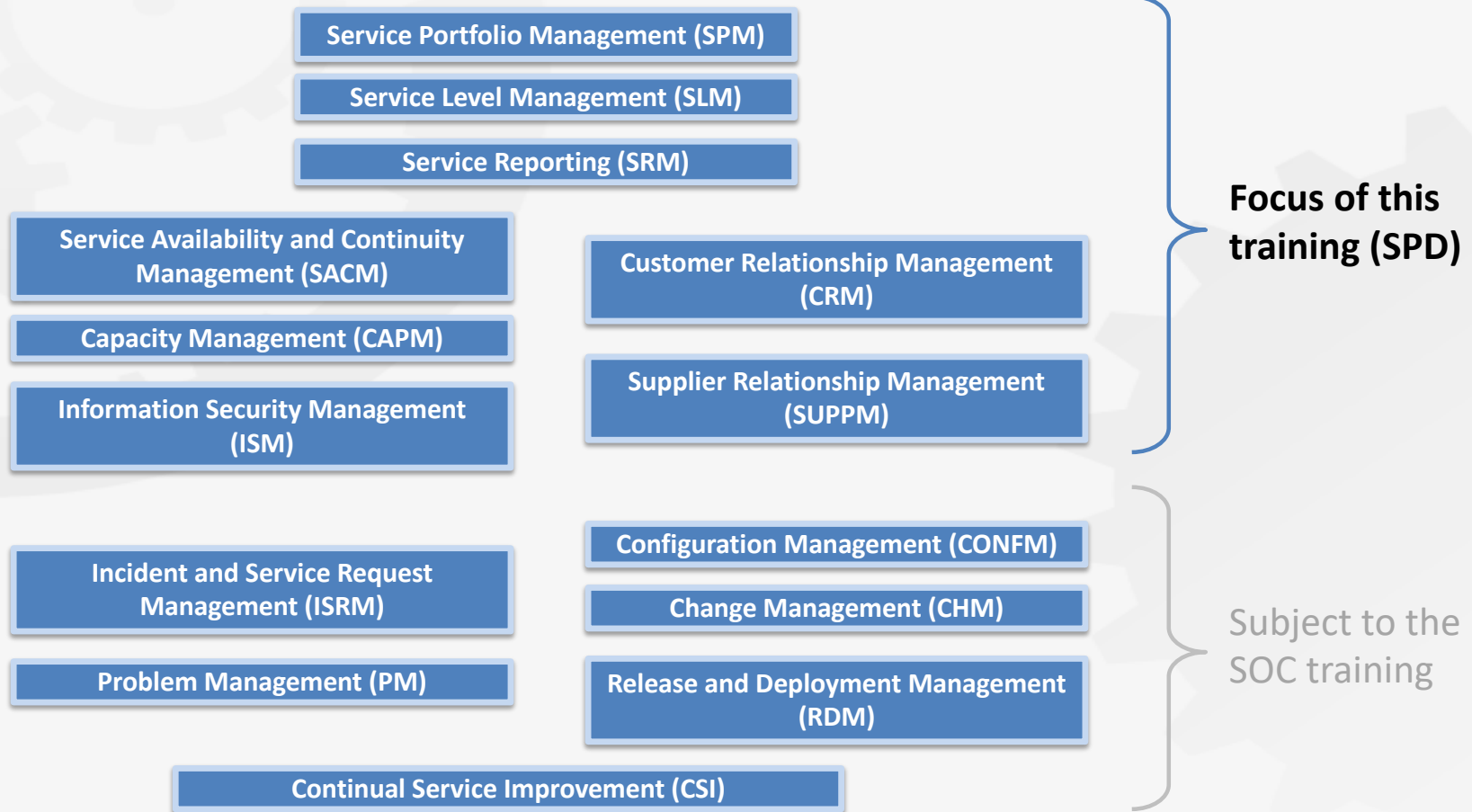
# Implementing processes



- Key facts about ITSM processes
  - ITSM processes support the delivery of IT services.
  - To provide one IT service to a customer, often several processes are needed.
  - An IT service being successfully delivered is the result from many processes successfully operating and interacting.
- Tools and processes
  - Tools are necessary for implementing services
    - Documenting the SMS.
    - Handling tickets of various types (incident, service request, problem, change, release, improvement etc.).
    - Inventorying elements of the SMS (configuration management database).
  - Process requirements should drive tool choices, tools should not (generally) drive processes
    - Tools cannot solve problems alone, only support solutions coming from well-trained individuals operating effective processes which follow clear policies.



# FitSM process model



# FitSM process model: SPD versus SOC



Service Portfolio Management (SPM)

Service Level Management (SLM)

Service Reporting (SRM)

Service Availability and Continuity Management (SACM)

Capacity Management (CAPM)

Information Security Management (ISM)

Customer Relationship Management (CRM)

Supplier Relationship Management (SUPPM)



Focus of this training

## Service Planning and Delivery (SPD)

- More strategic processes
- What do you offer? What promises do you make about it? How do you plan to deliver those promises? How do you manage relationships?
- Less requirements per process *but* individual requirements can be more complex
- Frequently external facing: deal with customers, suppliers, competitors, investors, funders etc.

Incident and Service Request Management (ISRM)

Problem Management (PM)

Configuration Management (CONFM)

Change Management (CHM)

Release and Deployment Management (RDM)

Continual Service Improvement (CSI)

## Service Operations and Control (SOC)

- More operational processes
- Manage the many elements (technical, human, documentary etc.) needed to operate services
- Many requirements but often fit into clear workflows
- Generally internal facing: Many internal interfaces but few external ones



## General aspects

- General aspects of a service management system (SMS) cover all topics that are **not directly related to a specific ITSM process**.
- Topics to be considered:

Top Management Commitment & Accountability (MCA)

Documentation (DOC)

Scope & Stakeholders of IT Service Management (SCS)

Planning IT Service Management (PLAN)

Implementing IT Service Management (DO)

Monitoring & Reviewing IT Service Management (CHECK)

Continually Improving IT Service Management (ACT)



## Training agenda

- FitSM Foundation wrap-up & ITSM basics
- **General aspects of establishing a service management system**
- Roles in a service management system
- ITSM processes for service planning and delivery (SPD)



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## General aspects of establishing a service management system

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## Top management commitment & accountability (MCA)

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### Objective

To ensure that top management of the organisation(s) involved in the delivery of services is clearly committed to a service- and process-oriented approach and that they fulfil their leadership duties

## MCA: Key questions



Who is the overall owner of ITSM topics (the SMS owner)?



How to ensure sufficient top management buy-in for the implementation of ITSM?



How to ensure sufficient and broad awareness of ITSM and the ITSM goals and plans?



# MCA: Requirements according to FitSM-1

## GR1 Top Management Commitment & Accountability (MCA)

### REQUIREMENTS

- GR1.1 A member of top management of the service provider(s) involved in the delivery of services shall be assigned as the SMS owner to be accountable for the overall SMS.
- GR1.2 A general service management policy shall be defined that includes overall service management goals as well as a commitment to continual improvement and a service-oriented and process-oriented approach. The service management policy shall be approved and communicated to relevant parties by the SMS owner.
- GR1.3 The SMS owner shall conduct management reviews at planned intervals.



## MCA: Activities according to FitSM-2

### Initial setup of the SMS

- Prepare a problem statement outlining the issues caused by lack of ITSM and the consequent motivation for implementing or improving ITSM.
- Define the role of the SMS owner and assign this role to a top management representative of the organisation(s) involved in delivering services to customers.
- Define and document a general service management policy (under consideration of the problem statement mentioned above), and have it approved by top management.
- Produce a communication plan considering relevant stakeholders.
- Create a clear understanding of the topics and desired outcomes of regular management reviews.

### Operation and maintenance of the SMS

- Review and update the service management policy at regular intervals.
- Perform planned communication activities to ensure awareness within the service provider.
- Review and update the communication plan at regular intervals.
- Perform management reviews of the SMS at regular intervals.

## MCA: Outputs according to FitSM-2



Assignment of the SMS owner

General service management policy

Communication plan

Documented results and follow-up actions from management reviews



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## Documentation (DOC)

### Objective

To ensure that key elements of the SMS are sufficiently documented to support and enhance effectiveness and traceability of ITSM

## DOC: Key questions



What is useful and necessary to be documented within the SMS?



How can you ensure that documents are accessible, up to date and changes to them are controlled?

# DOC: Requirements according to FitSM-1



## GR2 Documentation (DOC)

### REQUIREMENTS

- GR2.1 The key elements of the SMS shall be documented to support effective planning. This documentation shall include the SMS scope statement (see GR3), the general service management policy (see GR1) as well as the service management plan and related plans (see GR4).
- GR2.2 Documented definitions of all service management processes (see PR1-PR14) shall be created and maintained. Each of these definitions shall include:
  - Description of the goals of the process
  - Description of the inputs, activities and outputs of the process
  - Description of process-specific roles and responsibilities
  - Description of interfaces to other processes
  - Related process-specific policies as needed
  - Related process- and activity-specific procedures as needed
- GR2.3 The key outputs of all service management processes (see PR1-PR14) shall be documented and the execution of key activities of these processes recorded.

# DOC: Requirements according to FitSM-1



## GR2 Documentation (DOC)

### REQUIREMENTS

- GR2.4 Documented information shall be controlled, addressing the following activities as applicable:
  - Creation and approval
  - Communication and distribution
  - Review
  - Versioning and change tracking

## DOC: Activities according to FitSM-2



### Initial setup of the SMS

- Agree on the specific documents to be produced (such as policies, plans, process descriptions, service catalogue(s), SLAs, etc.).
- Define the location(s) and format(s) for key ITSM documentation (such as a central online document repository or document management tool / system, along with document templates).
- Agree on the approach and mechanisms for controlling documentation (creation and approval, communication and distribution, review and updating, as well as versioning and change tracking).

### Operation and maintenance of the SMS

- Produce and maintain documentation on ITSM where required, agreed and / or defined.
- Apply document control mechanisms to all relevant pieces of documented information.

## DOC: Outputs according to FitSM-2



Understanding of the minimum required level of documentation of the SMS

Defined storage location(s) for ITSM documentation

Established document control mechanisms

Templates for key ITSM documentation



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## Scope & Stakeholders of IT Service Management (SCS)

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### Objective

To understand stakeholders' needs and expectations and define the scope of the SMS

# SCS: Key questions



Who are the stakeholders of the services delivered and of the underlying SMS?



What are the needs and expectations of these stakeholders?



What are the relevant legal and contractual requirements that need to be taken into consideration?



Which activities in the context of managing IT services are under control of the SMS, and which are not?

# SCS: Requirements according to FitSM-1



## GR3 Scope & Stakeholders of IT Service Management (SCS)

### REQUIREMENTS

- GR3.1 The stakeholders of the IT services and the SMS shall be identified and their needs and expectations analysed. Relevant legal, regulatory and contractual requirements shall be considered.
- GR3.2 The scope of the SMS shall be defined taking into consideration results from the stakeholder analysis.



# Scope limitation

- Effects of restricting the scope:
  - Makes it easier to implement ITSM by not trying to implement it everywhere at once.
  - Allows exclusion of certain services from control through the SMS.
  - Makes implementation less valuable by not impacting and improving a sufficient fraction of services offered.
- Scope limitation is a balance between:
  - Practicality and ease of initial implementation
  - Impact and long-term benefit of implementation
- Types of scope limitation
  - To a certain provider organisation, part of a provider organisation or federation
  - To a subset of services or specific service catalogues
  - To a certain geographical location
  - To a certain group of customers or users



## SCS: Activities according to FitSM-2

### Initial setup of the SMS

- Identify the stakeholders of the services to be delivered (such as customers, suppliers, public authorities and individual persons).
- For each stakeholder, analyse their needs and expectations with respect to the services as well as the underlying SMS.
- Discuss the required scope of the SMS by defining to which services, technologies, geographical locations, involved organisations and customers it applies.
- Produce a (formal) scope statement.

### Operation and maintenance of the SMS

- Update the stakeholder analysis at regular intervals.
- Review the scope statement at regular intervals and consider extending or reducing the scope to align the SMS to relevant requirements.

## SCS: Outputs according to FitSM-2



Stakeholder analysis

Scope statements for the SMS



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## Planning IT Service Management (PLAN)

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### Objective

To create plans for implementing and maintaining ITSM in an organisation or federation, based on the identified scope

## PLAN: Key questions



What are the ITSM-related goals to be achieved during the planning period?



What is a realistic and achievable timeline of activities towards these goals, also considering available resources?



Who is responsible for the different activities, and do they have the awareness and skills needed to carry them out?



What tools or technologies are available or needed to effectively support ITSM-related activities?

# PLAN: Requirements according to FitSM-1



## GR4 Planning IT Service Management (PLAN)

### REQUIREMENTS

- GR4.1 A service management plan shall be created and maintained. It shall include:
  - Goals and timing of implementing or improving the SMS and the related processes
  - Roles and responsibilities
  - Training and awareness activities
  - Technology (tools) to support the SMS
- GR4.2 Any process-specific plan shall be aligned to the overall service management plan



## PLAN: Activities according to FitSM-2

### Initial setup of the SMS

- Assess the maturity of current ITSM.
- Set an appropriate target level of maturity for ITSM to be achieved.
- Determine and describe the gaps between defined goals and the current baseline (gap analysis).
- Identify and specify the steps towards improvement based on the identified gaps.
- Produce a service management plan. As part of this, among other things:
  - Define the goals and activities of implementing the SMS and the related ITSM processes, including a timeline for each planned activity and important milestones to be achieved.
  - Define and assign general and process-related roles and responsibilities in the SMS.
  - Define necessary training and awareness activities for the individuals involved in or affected by the SMS.
  - Clarify which tools are going to be used to support the implementation of the SMS and execution of the ITSM processes.
- Produce process-specific plans, as required (such as a plan covering the initial process setup activities for a given ITSM process).

### Operation and maintenance of the SMS

- Review and update the service management plan at regular intervals.
- Review process-specific plans at regular intervals and keep them aligned to the overall service management plan.

## PLAN: Outputs according to FitSM-2



Service management plan

Process-specific plans, as required



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## Implementing IT Service Management (DO)

### Objective

To implement ITSM according to plans and ensure ITSM processes are followed in practice as defined

## DO: Key question



How is compliance with plans, defined processes, policies and procedures encouraged, supported and enforced?

# DO: Requirements according to FitSM-1



## GR5 Implementing IT Service Management (DO)

### REQUIREMENTS

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



## DO: Activities according to FitSM-2

### Initial setup of the SMS

- Distribute and communicate the initial service management plan.
- Define how to minimise potential deviations from plans, including managing any resistance.

### Operation and maintenance of the SMS

- Implement and operate the SMS according to the current version of the service management plan.
- Respond to unforeseen obstacles or issues arising in the implementation of the service management plan.
- Identify and perform actions to support and enforce the application of defined ITSM processes in practice, such as effective communication, awareness and training activities as well as disciplinary measures as a last resort for those not adhering to processes, related policies or procedures.

## DO: Output according to FitSM-2



Implementation progress according to plans



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## Monitoring & Reviewing IT Service Management (CHECK)

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### Objective

To examine the level of conformity, effectiveness and efficiency of the SMS, and assess its organisational maturity

## CHECK: Key questions



To what extent does implementation progress of the SMS match plans?



How effective and efficient are the ITSM processes in achieving defined goals?



How can measurements, assessments and audits be utilised to evaluate the SMS?

# CHECK: Requirements according to FitSM-1



## GR6 Monitoring & Reviewing IT Service Management (CHECK)

### REQUIREMENTS

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

# CHECK: Activities according to FitSM-2



## Initial setup of the SMS

- Define measurable key performance indicators in support of the most relevant goals to monitor effectiveness and efficiency of the SMS. For each key performance indicator, define target values and the means of collection and reporting.
- Define an SMS assessment or audit program taking into account the status and importance of the ITSM processes to be evaluated.

## Operation and maintenance of the SMS

- Regularly monitor the defined key performance indicators and evaluate results against targets.
- Perform assessments and audits according to plans.
- Report on the results of measurements, assessments and audits to all relevant parties, including the SMS owner.
- Review and update the definitions of key performance indicators as well as the assessment and audit program based on previous results and the current maturity of the SMS.



## Effective use of KPIs

- Key Performance Indicators (KPIs) are:
  - **Effective** when they are clearly measurable factors that can be collected with reasonable effort.
  - **Ineffective** when they are subjective, qualitative or very costly to collect.
  - **Effective** when they reflect provider performance, so can be impacted by changing provider behaviour.
  - **Ineffective** when they are situations you cannot impact with your processes, e.g. having a KPI for how many sunny days you experience, how do you improve it?
  - **Effective** when they measure progress toward a goal you want to achieve (a critical success factor).
  - **Ineffective** when you simply make the KPIs things that you can easily measure.



## Effective use of KPIs

- Creating KPIs:



- KPIs should generally be set for:

- The SMS as a whole
- Processes
- Services

## CHECK: Outputs according to FitSM-2



Definitions of key performance indicators

Assessment or audit program

Results and reports of measurements,  
assessments and audits

Identified nonconformities, deviations from goals and  
opportunities for improvement



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## Continually Improving IT Service Management (ACT)

### Objective

To establish a culture of continual improvement of the SMS and enable the Continual Service Improvement process to act upon identified nonconformities and deviations from goals

## ACT: Key questions



How do we ensure that all potential opportunities for improvement are overseen or considered as an input to the CSI process?



How do we ensure that all potential sources for improvement are exploited for the CSI process?

# ACT: Requirements according to FitSM-1



## GR7 Continually Improving IT Service Management (ACT)

### REQUIREMENTS

- GR7.1 Nonconformities and deviations from goals shall be identified and actions shall be taken to prevent them from recurring.
- GR7.2 The service management policy, service management plan and all service management processes shall be subject to continual improvement. Respective improvements shall be identified, evaluated and implemented according to the Continual Service Improvement Management process (see PR14).

## ACT: Activities according to FitSM-2



### Initial setup of the SMS

- Promote the idea of continual improvement of the SMS by highlighting the importance of everyone's contribution to it.
- Support the establishment of the Continual Service Improvement Management process and connect the process to all evaluation activities as part of the SMS that may result in improvements.

### Operation and maintenance of the SMS

- Ensure that identified nonconformities and deviations are prioritise, approved or rejected, and implemented according to the Continual Service Improvement Management process.

## ACT: Outputs according to FitSM-2



Incremental progress in the effectiveness and maturity of the SMS



## Training agenda

- FitSM Foundation wrap-up & ITSM basics
- General aspects of establishing a service management system
- **Roles in a service management system**
- ITSM processes for service planning and delivery (SPD)



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## Roles in a service management system

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## Role makeup and types

- Roles are made up of a context, a definition and an assignment
  - If they have all three, they have been implemented
- General roles
  - Address the whole SMS
  - They are mainly related to the General Requirements (GR 1-7) in FitSM-1
- Process specific roles
  - Address one process or a case within the process
  - They are mainly related to the Process Requirements (PR1-14) in FitSM-1

### Role context



Entity the role impacts

### Role definition



Responsibilities & tasks

### Role assignment



Name of individual assigned



## Key roles in an SMS according to FitSM-3

- General roles
  - SMS owner
  - SMS manager
  - Other possible general roles e.g. Documentation officer
- Process level roles: common role types
  - Process owner
  - Process manager
  - Case owner e.g. Service owner, Incident owner
  - Process staff member

## SMS owner: General tasks according to FitSM-3



Role	Tasks	Number of implemented roles
<b>SMS owner</b>	<ul style="list-style-type: none"><li>• Senior accountable owner of the entire service management system (SMS).</li><li>• Overall accountability for all ITSM-related activities.</li><li>• Act as the primary contact point for concerns in the context of governing the entire SMS.</li><li>• Define and approve goals and policies for the entire SMS.</li><li>• Nominate the process owners and/or managers, and ensure they are competent to fulfil their roles.</li><li>• Approve changes to the overall SMS.</li><li>• Decide on the provision of resources dedicated to ITSM.</li><li>• Based on monitoring and reviews, decide on necessary changes in the goals, policies and provided resources for the SMS.</li></ul>	<p>1 for the overall SMS</p> <p>Often, the person taking over the SMS owner role may also take over the process owner role for the entirety or a subset of the ITSM processes.</p>

# SMS manager: General tasks according to FitSM-3



Role	Tasks	Number of implemented roles
SMS manager	<ul style="list-style-type: none"><li>• Act as the primary contact point for all operational concerns (including planning and development) in the context of the entire SMS.</li><li>• Maintain the service management plan and ensure it is available to relevant stakeholders.</li><li>• Ensure IT service management processes are implemented according to approved goals and policies.</li><li>• Maintain an adequate level of awareness and competence of the people involved in the SMS, particularly the process managers.</li><li>• Monitor and keep track of the suitability, effectiveness and maturity of the entire SMS.</li><li>• Manage risks across the SMS (unless there is an SMS-level Risk Manager role defined for this SMS).</li><li>• Report and, if necessary, escalate to the SMS owner.</li><li>• Identify opportunities for improving the effectiveness and efficiency of the SMS.</li></ul>	1 for the overall SMS



## Common role type: Process owner according to FitSM-3

Common role type	Common tasks
<b>Process owners</b> of the 14 processes	<ul style="list-style-type: none"><li>• Act as the primary contact point for concerns in the context of governing one specific ITSM process.</li><li>• Define and approve goals and policies in the context of the process according to the overall SMS goals and policies.</li><li>• Nominate the process manager, and ensure they are competent to fulfil this role.</li><li>• Approve changes / improvements to the operational process, such as (significant) changes to the process definition.</li><li>• Decide on the provision of resources dedicated to the process and its activities.</li><li>• Based on process monitoring and reviews, decide on necessary changes in the process-specific goals, policies and provided resources.</li></ul>

**Note:** Common role types provide sets of tasks which are implemented in multiple roles, in different processes



## Common role type: Process manager according to FitSM-3

Common role type	Common tasks
<b>Process managers</b> of the 14 processes	<ul style="list-style-type: none"><li>• Act as the primary contact point for operational concerns in the context of the process.</li><li>• Maintain the process definition / description and ensure it is available to relevant persons.</li><li>• Maintain an adequate level of awareness and competence of the people involved in the process.</li><li>• Monitor and keep track of the process execution and results (incl. process reviews).</li><li>• Manage risks that involve this process (unless there is a process-specific role that manages risks in this context).</li><li>• Report on process performance to the process owner.</li><li>• Escalate to the process owner, if necessary.</li><li>• Identify opportunities for improving the effectiveness and efficiency of the process.</li></ul>



## Common role type: Case Owner according to FitSM-3

Common role type	Common tasks
Case owner	<ul style="list-style-type: none"><li>• Overall responsibility for one specific case occurring in a process context (e.g. one specific incident to be resolved).</li><li>• Act as the primary contact point for all concerns in the context of that specific case.</li><li>• Coordinate all activities required to handle / resolve the specific case.</li><li>• Escalate exceptions to the process manager, where required.</li><li>• Additional tasks – depending on the specific process (see process-specific role models).</li></ul>

**Note:** The role of a case owner is usually required in a process, if occurrences (e.g. incidents, service requests, problems, changes, releases, ...) or logical entities / objects (e.g. services different types of agreements, reports or plans, ...) are managed by the process, and the process manager themselves does not take over specific responsibility for all of these occurrences or entities.

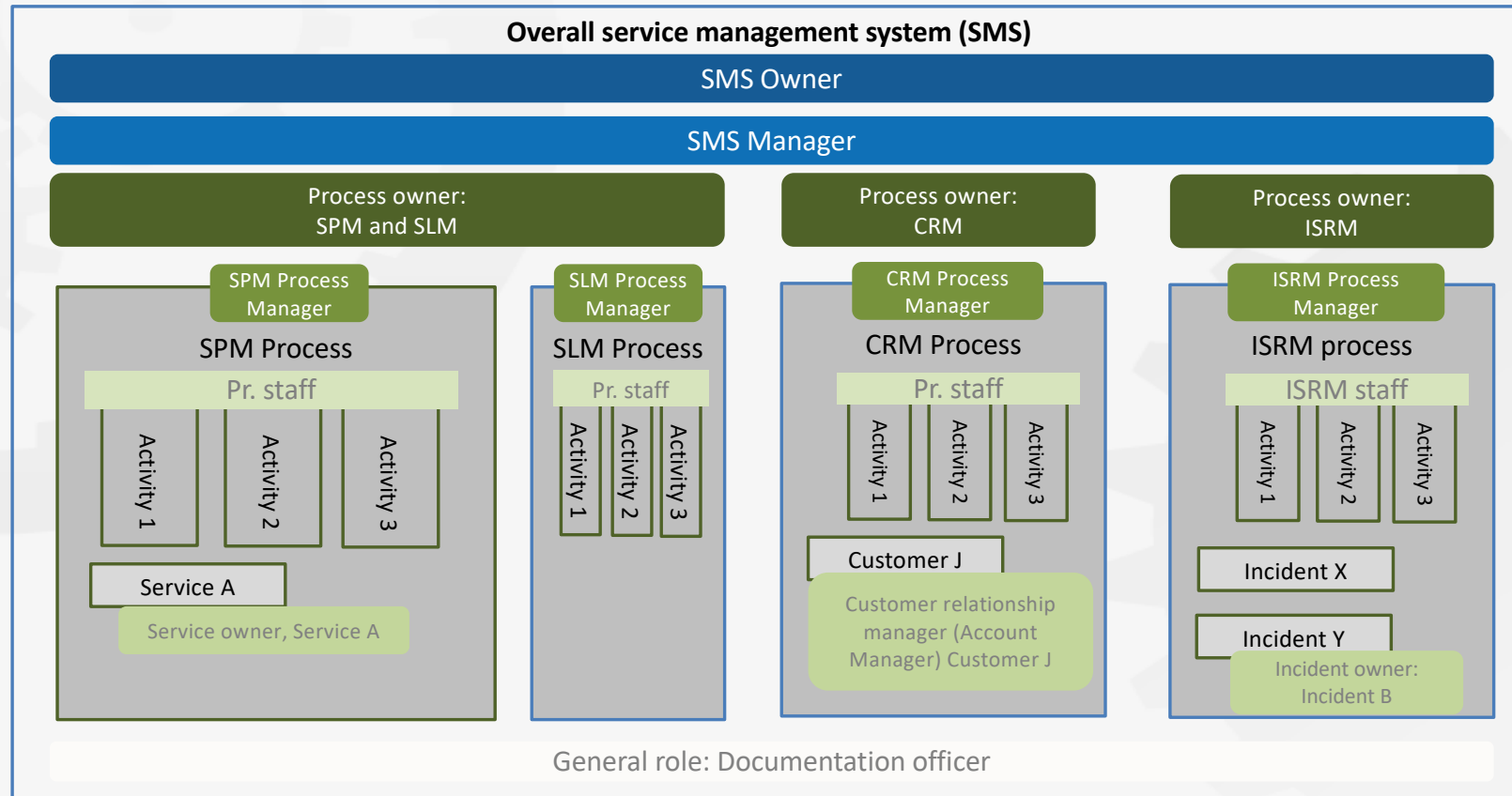


## Common role type: Process staff member according to FitSM-3

Common role type	Common tasks
<b>Process staff member</b>	<ul style="list-style-type: none"><li>• Carry out tasks according to the defined / established process and, as applicable, its activities and procedures (e.g. the procedure of prioritising an incident).</li><li>• Report to case owners and / or process managers, as appropriate.</li><li>• Contribute to the effectiveness and continual improvement of the process.</li></ul>



# Key roles in an SMS – Visualisation



# Example process manager: Process manager SPM

according to FitSM-3



Role	Tasks	Number of implemented roles
<b>Process manager SPM</b>	<p><i>Generic tasks of a process manager (see previous slides), plus:</i></p> <ul style="list-style-type: none"><li>• Maintain the service portfolio.</li><li>• Manage updates to the service portfolio.</li><li>• Ensure the lifecycle of new or changed services are managed and appropriate plans are created and maintained.</li><li>• Review the service portfolio at planned intervals.</li></ul>	1 in total



## Example case manager: Service owner according to FitSM-3

Role	Tasks	Number of implemented roles
<i>Case owner:</i> <b>Service owner</b>	<ul style="list-style-type: none"><li>• Overall responsibility for one specific service that is part of the service portfolio.</li><li>• Act as the primary contact point for all (process-independent) concerns in the context of that specific service.</li><li>• Act as an “expert” for the service in both technical and non-technical concerns.</li><li>• Maintain the core service documentation, such as the service specification / description.</li><li>• Be kept informed of every event, situation or change connected to the service.</li><li>• Be involved in tasks significantly related to the service as part of selected ITSM processes, in particular SPM and SLM (see process-level role templates).</li><li>• Report on the service to the SMS owner.</li></ul>	1 per service



## Training agenda

- FitSM Foundation wrap-up & ITSM basics
- General aspects of establishing a service management system
- Roles in a service management system
- **ITSM processes for service planning and delivery (SPD)**



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## ITSM processes for service planning and delivery (SPD)

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# Common structure of the presentation of ITSM processes in this training material



- **Objective** according to FitSM-0
- **Key questions**
- **Important terms & concepts** according to FitSM-0
- **Process-specific requirements** according to FitSM-1
- **Activities for initial process setup** according to FitSM-2
- **Inputs and outputs** according to FitSM-2
- **Process chart** according to FitSM-2
- **Activities during ongoing process execution** according to FitSM-2
- **Roles** according to FitSM-3
- **Interfaces with other ITSM processes** according to FitSM-2



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## Service Portfolio Management (SPM)

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### Objective

To maintain the service portfolio and to manage services through their lifecycle

# SPM: Key questions



What does the service provider do for its customers, and how can this be structured into services?



How can the service provider use their capabilities to meet future customer needs?



How is the design and transition of a new or changed service planned?



Who does the service provider rely on when providing services?

# SPM: Important terms according to FitSM-0



## Definition following FitSM-0:

### **Service portfolio:**

Internal list that details all the services offered by a service provider, including those in preparation, live and discontinued

Note: For each service, the service portfolio may include information such as its value proposition, target customer base, service description, relevant technical specifications, cost and price, risks to the service provider, service level packages offered, etc.

## Definition following FitSM-0:

### **Service lifecycle:**

The series of phases a service may move through in its lifetime.

Note 1: Specific service lifecycle phases are typically defined for each organisation, depending on the complexity needed. These may include initial idea, proposal, design, development, deployment, production and retirement.

Note 2: Service design and transition plans, sometimes referred to as the service design and transition package (SDTP), should be produced or updated for every new or majorly altered service. It may consist of a number of documented plans and other relevant information including a list of requirements and service acceptance criteria, a project plan, communication and training plans, technical plans and specifications, resource plans, development and deployment schedules / timetables, etc.

# SPM: Requirements according to FitSM-1



## PR1 Service Portfolio Management (SPM)

### REQUIREMENTS

- PR1.1 A service portfolio shall be maintained. All services shall be specified as part of the service portfolio.
- PR1.2 Proposals for new or changed services shall be evaluated based on predicted demand, required resources and expected benefits.
- PR1.3 The evolution of services through their lifecycle shall be managed. This shall include the planning of new services and major alterations to existing services. Plans shall consider timescales, responsibilities, new or changed technology, communication and service acceptance criteria.
- PR1.4 For each service, the internal and external suppliers involved in delivering the service shall be identified, including, as relevant, federation members. Their contact points, roles and responsibilities shall be determined.

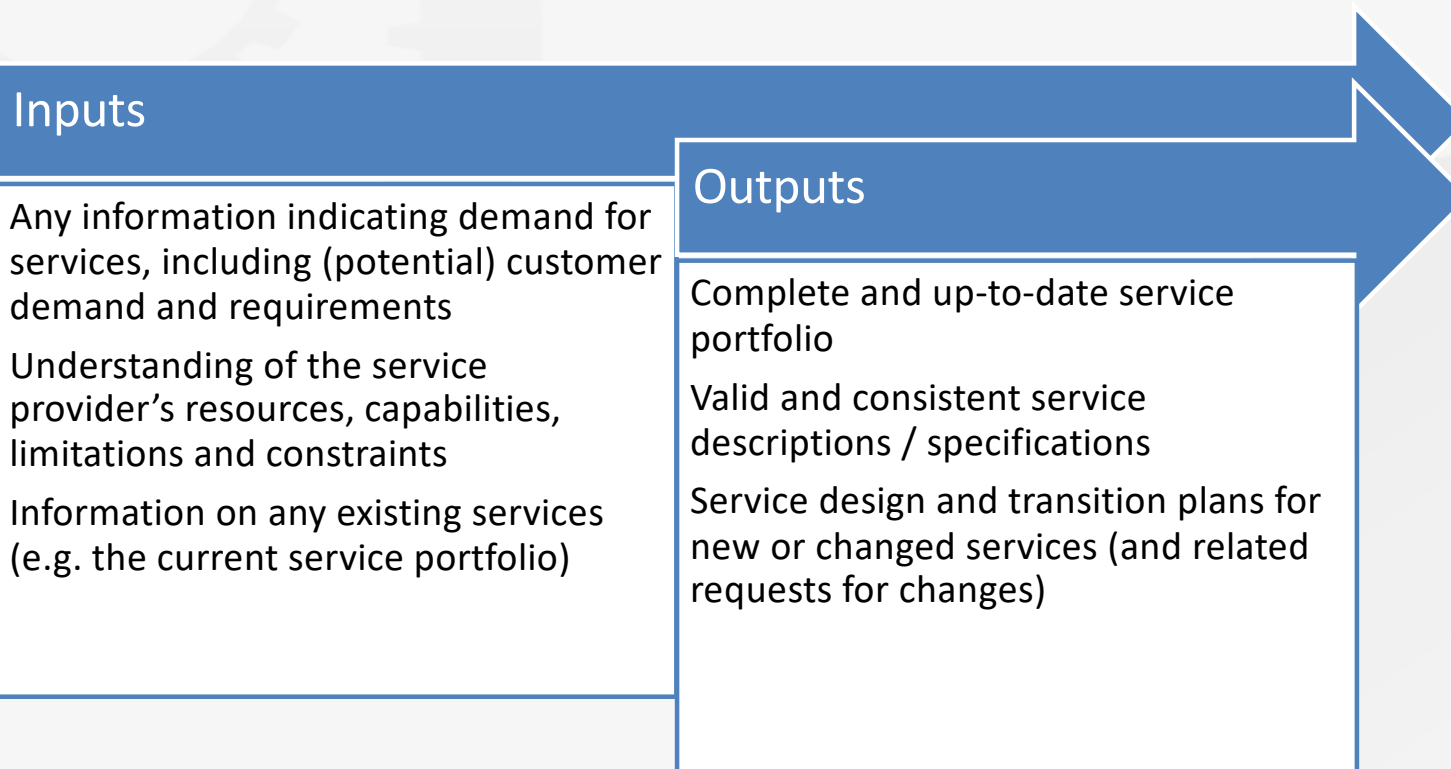
# SPM: Activities according to FitSM-2



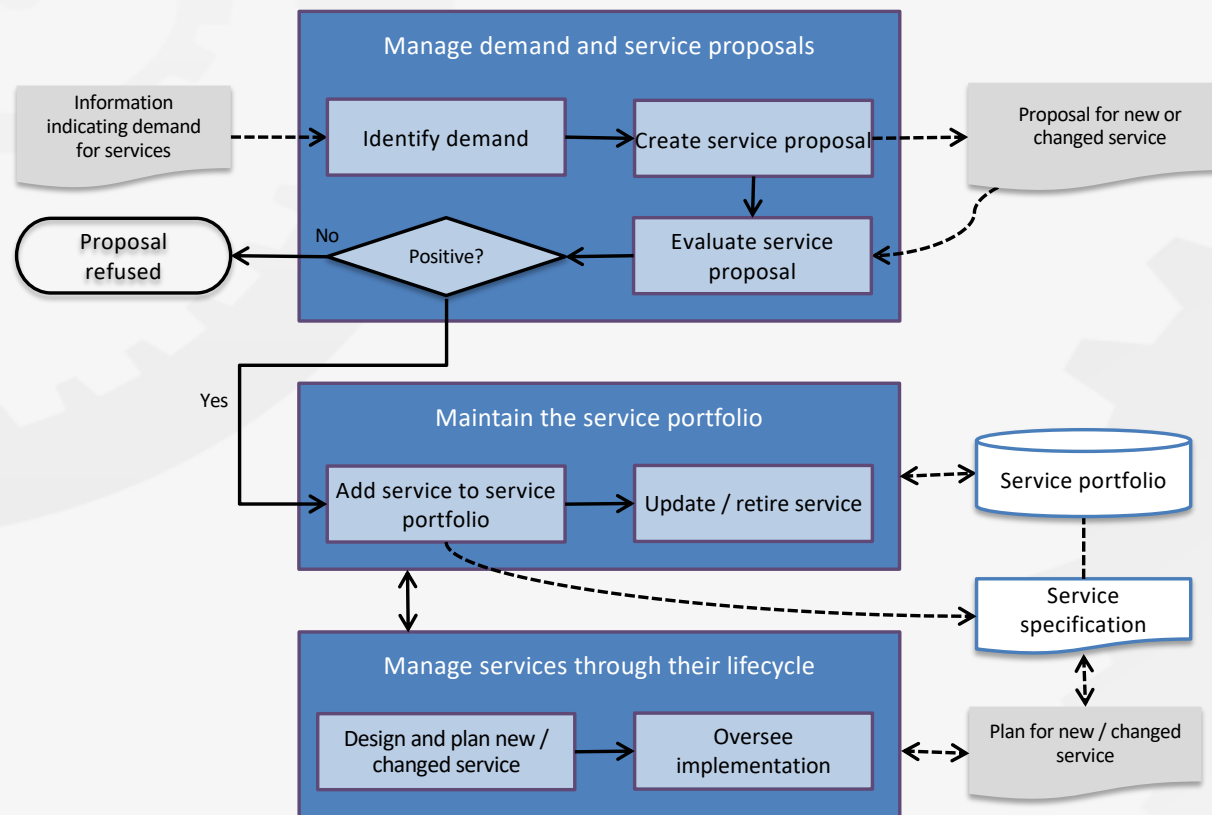
## Initial process setup

- Define a way to document the service portfolio.
- Define a way to describe / specify a specific service (e.g. service specification template) including the different lifecycle phases that the service may move through (e.g. proposed, planned, in production, retired).
- Set up an initial service portfolio (including service specifications) covering at least all live services provided to customers, as far as they are in the scope of the service management system.
- Create a map of the bodies / parties (organisations, federation members) involved in delivering services.
  - Identify and describe the role of each party in service provisioning.
  - Identify a single contact point for each body / party.
- Define a way to deal with changed demand for services and new service proposals.
  - Create a service proposal template (e.g. smaller subset of the service specification template).
  - Write down the assessment criteria used to make decisions on proposals for new or changed services.

# SPM: Inputs and outputs according to FitSM-2



# SPM: Process chart according to FitSM-2



# SPM: Activities according to FitSM-2



## Ongoing process execution

- **Manage demand and service proposals**
  - Identify demand for new or changed services
  - Create service proposal
  - Evaluate service proposal
- **Maintain the service portfolio**
  - Add a new service to the service portfolio
  - Update services in the service portfolio
  - Retire services from the service portfolio
- **Manage services through their lifecycle**
  - Create and approve service design and transition plans
  - Update service design and transition plans as necessary

## SPM: Roles according to FitSM-3



Role	Tasks	Number of implemented roles
Process owner SPM	<i>Generic tasks of a process owner applied in the context of SPM</i>	1 in total
Process manager SPM	<i>Generic tasks of a process manager, plus:</i> <ul style="list-style-type: none"><li>• Maintain the service portfolio.</li><li>• Manage updates to the service portfolio.</li><li>• Ensure the lifecycle of new or changed services are managed and appropriate plans are created and maintained.</li><li>• Review the service portfolio at planned intervals.</li></ul>	1 in total

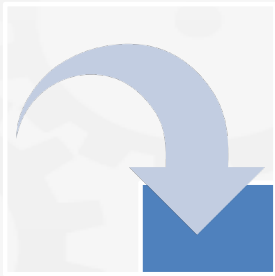


## SPM: Roles according to FitSM-3

Role	Tasks	Number of implemented roles
<i>Case owner:</i> <b>Service owner</b>	<ul style="list-style-type: none"><li>• Overall responsibility for one specific service that is part of the service portfolio.</li><li>• Act as the primary contact point for all (process-independent) concerns in the context of that specific service.</li><li>• Act as an “expert” for the service in both technical and non-technical concerns.</li><li>• Maintain the core service documentation, such as the service specification / description.</li><li>• Be kept informed of every event, situation or change connected to the service.</li><li>• Be involved in tasks significantly related to the service as part of selected ITSM processes, in particular SPM and SLM (see process-level role templates).</li><li>• Report on the service to the SMS owner.</li></ul>	1 per service

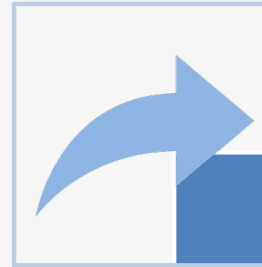


## SPM: Interfaces according to FitSM-2



### Incoming

- **CRM:** Identified customer requirements as a factor to be considered to identify demand for new or changed services
- **SUPPM:** Information on suppliers as a basis for identifying suppliers involved in the delivery of a given service



### Outgoing

- **SLM:** Service portfolio together with service specifications as a basis for creating the service catalogue
- **SUPPM:** Information on internal and external suppliers involved in delivering a given service (part of plans for new or changed services) as a basis for the identification of new suppliers
- **CHM:** Requests for changes to trigger changes to configuration items (CIs) as required to implement plans for new or changed services
- **ISRM:** Service level agreements (SLAs) containing information on agreed service targets to enable prioritisation of incidents and service requests



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## Service Level Management (SLM)

### Objective

To maintain service catalogues, and to define and evaluate agreements on service quality with customers and suppliers

## SLM: Key questions



How are relevant parts of the service portfolio presented to customers?



Which service targets are required by customers? What are the resulting SLAs?



Which operational targets need to be fulfilled by suppliers to support the service targets agreed with customers? What are the resulting OLAs and UAs?



How is the fulfilment of SLAs, OLAs and UAs evaluated? How are customers informed of SLA violations?

# SLM: Important terms according to FitSM-0



## Definition following FitSM-0:

### **Service catalogue:**

Customer-facing list of all live services offered along with relevant information about these services

Note 1: A service catalogue can be regarded as a filtered version of and customers' view on the service portfolio.

Note 2: Based on one service portfolio, one or more service catalogues can be created

## Definition following FitSM-0:

### **Service target:**

Reference / target values for a parameter used to measure the performance of a service, listed in a service level agreement (SLA) related to this service

Note: Typical service targets include availability or resolution time for incidents.

## Definition following FitSM-0:

### **Service level agreement (SLA):**

Documented agreement between a customer and service provider that specifies the service to be provided and the service targets that define how it will be provided

# SLM: Important terms according to FitSM-0



## Definition following FitSM-0:

### **Operational level agreement (OLA)**

Documented agreement between a service provider and an internal supplier that specifies the underpinning service(s) or service component(s) to be provided by the internal supplier or federation member, together with the related operational targets

Note: In a federation, OLAs may be agreed between the federator and federation members.

## Definition following FitSM-0:

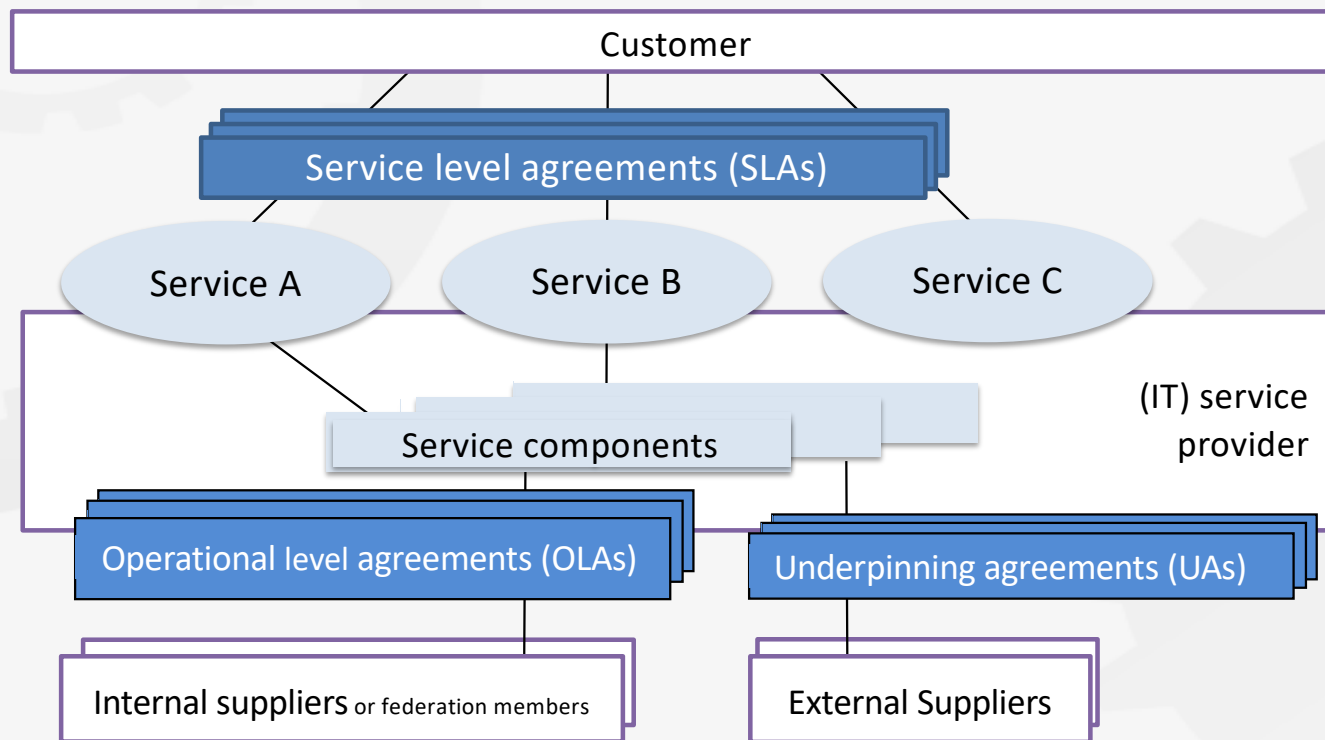
### **Underpinning agreement (UA)**

Documented agreement between a service provider and an external supplier that specifies the underpinning service(s) or service component(s) to be provided by the supplier, together with the related operational targets

Note 1: A UA can be seen as a service level agreement (SLA) with an external supplier where the service provider is in the customer role.

Note 2: A UA may also be referred to as an underpinning contract (UC).

# SLM: Important terms – Visualisation



# SLM: Requirements according to FitSM-1



## PR2 Service Level Management

### REQUIREMENTS

- PR2.1 A service catalogue shall be maintained.
- PR2.2 For all services delivered to customers, service level agreements (SLAs) shall be in place and reviewed at planned intervals.
- PR2.3 Service performance shall be evaluated against service targets defined in SLAs.
- PR2.4 For supporting services or service components, underpinning agreements (UAs) and operational level agreements (OLAs) shall be agreed as needed and reviewed at planned intervals.
- PR2.5 Performance of supporting services and service components shall be evaluated against targets defined in UAs and OLAs.

## SLM: Activities according to FitSM-2



### Initial process setup

- Define the minimum structure, format and content for service catalogues.
- Create an initial service catalogue based on the information in the service portfolio
- Define a basic / default SLA valid for all services provided to customers, where no specific / individual SLAs are in place.
- Define templates for individual SLAs, OLAs and UAs.
- Identify the most critical supporting service components, and agree OLAs and UAs with internal and external suppliers contributing to delivering services to customers.
- Agree individual SLAs with customers for the most important / critical services.
- Define a standard way to notify customers of SLA violations.

# Typical SLA contents



Scope and description of the service

Service hours and exceptions

- Regular operation hours
- Maintenance windows

Service components & dependencies

- To the extent needed by customer

Support

- Support hours
- Incident handling
- Fulfilment of service requests

Service level targets

- Availability
- Response (and resolution)
- Technical...
- Other...

Limitations & constraints

Communication, reporting & escalation

- General communication
- Regular reporting
- SLA violations
- Escalation & complaints

Information security & data protection

Additional responsibilities of the service provider

Customer responsibilities

- Not sharing access credentials

Review

Glossary of terms

# SLM: Inputs and outputs according to FitSM-2



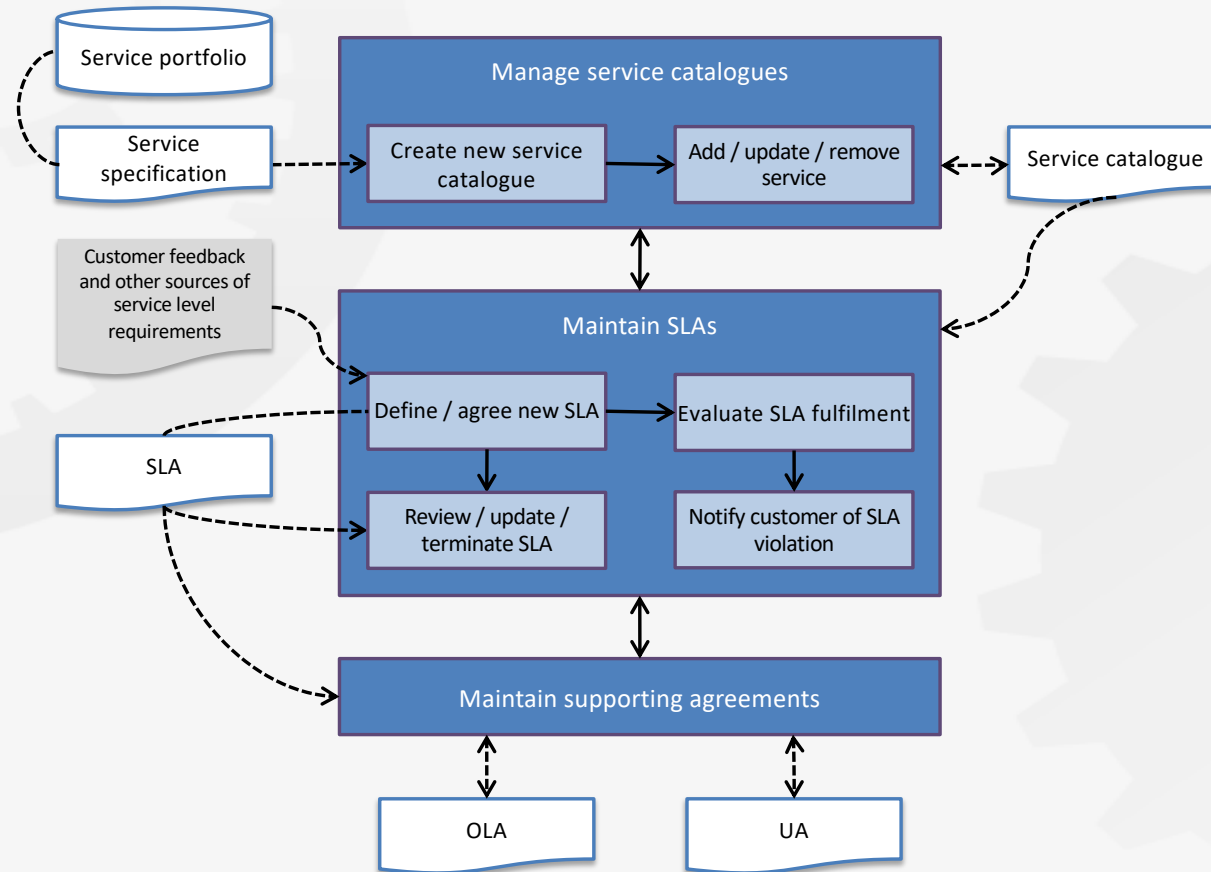
## Inputs

Service portfolio together with service specifications  
General and specific service level requirements

## Outputs

Up-to-date service catalogue covering all information that are relevant for customers  
Default SLA and individual SLAs with customers  
Supporting OLAs and UAs, aligned with SLAs

# SLM: Process chart according to FitSM-2





## SLM: Activities according to FitSM-2

### Ongoing process execution

- **Maintain service catalogues**

- Create a new service catalogue
- Add, update or remove services from a catalogue
- Retire a service catalogue

- **Maintain SLAs**

- Define and negotiate / agree a new SLA
- Evaluate SLA fulfilment
- Notify customer of an SLA violation
- Review, update or terminate an SLA

- **Maintain supporting agreements (OLAs and UAs)**

- Define and negotiate / agree a new OLA / UA
- Evaluate OLA / UA fulfilment
- Escalate an OLA / UA violation to the supplier
- Review, update or terminate an OLA / UA

## SLM: Roles according to FitSM-3



Role	Tasks	Number of implemented roles
<b>Process owner SLM</b>	<i>Generic tasks of a process owner applied in the context of SLM</i>	1 in total
<b>Process manager SLM</b>	<i>Generic tasks of a process manager, plus:</i> <ul style="list-style-type: none"><li>• Maintain the service catalogue.</li><li>• Manage updates to the service catalogue.</li><li>• Ensure the service catalogue is aligned with the service portfolio.</li><li>• Negotiate SLAs with customers.</li><li>• Propose and negotiate OLAs with internal groups or federation members.</li><li>• Propose and negotiate UAs with external suppliers.</li><li>• Ensure that all SLAs, OLAs and UAs are documented in a consistent manner e.g. through maintaining agreement templates.</li><li>• Approve new or changed SLAs, OLAs and UAs.</li><li>• Ensure SLAs, OLAs and UAs are aligned to each other.</li></ul>	1 in total

## SLM: Roles according to FitSM-3

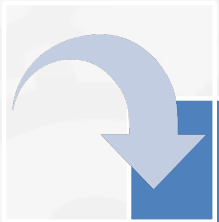


Role	Tasks	Number of implemented roles
<b>Case owner: SLA / OLA / UA owner</b>	<ul style="list-style-type: none"><li>• Maintain the SLA, OLA or UA under their ownership and ensure it is specified and documented according to relevant specifications.</li><li>• Evaluate the fulfilment of the SLA, OLA or UA.</li><li>• Ensure that violations of the targets defined in the SLA, OLA or UA are identified and investigated to prevent future recurrence.</li><li>• Perform regular reviews of the SLA, OLA or UA.</li><li>• Understand new or changed requirements on the SLA, OLA or UA under their ownership, and initiate necessary updates or other follow-up actions.</li></ul>	1 per SLA, OLA and UA

# SLM: Interfaces according to FitSM-2

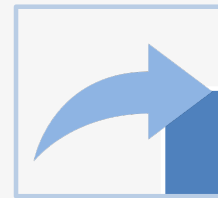


## Incoming



- **SPM:** Service portfolio together with service specifications as a basis for creating the service catalogue
- **CRM:** Information on customers and identified customer-specific service level requirements (e.g. based on customer feedback or resulting from service reviews with customers) as a basis for defining SLAs
- **SUPPM:** Information on suppliers as a basis for defining OLAs and UAs

## Outgoing



- **SRM:** SLAs with agreed service targets as a basis for identifying service reporting requirements, i.e. understanding the reporting requirements agreed in SLAs
- **SRM:** Data from evaluation of SLAs, OLAs and UAs as a basis for reports
- **SACM:** SLAs with agreed service availability and continuity targets as a basis for identifying overall availability and continuity requirements
- **CAPM:** SLAs with agreed capacity and performance targets as a basis for identifying overall capacity and performance requirements
- **ISM:** SLAs with agreed information security targets as a basis for identifying overall security requirements
- **CRM:** Service catalogue for available services that are offered to customers
- **CRM:** SLAs reflecting what has been agreed with customers together with service reports to support service reviews with customers
- **SUPPM:** OLAs and UAs together with reports on operational targets to support supplier performance evaluation



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## Service Reporting Management (SRM)

### Objective

To specify reports on services and processes and ensure they are produced and delivered

# SRM: Key questions



Which reports are required by customers and other interested parties?



Which reports are required by internal stakeholders in order to effectively manage the SMS?



What is the required frequency and content of these reports?



Are reports actually produced and distributed as required and agreed?

## SRM: Important terms according to FitSM-0



Definition following FitSM-0:

### **Report:**

A structured record communicating results gathered through measurement, monitoring, assessment, audit or observation

Note 1: A common report generated from a service management system is a service report targeted to customers of a service that details the performance of that service versus the service targets defined in a service level agreement (SLA).

Note 2: The recipients of reports may be internal or external, including customers, suppliers, federation members, service owners and the SMS owner.

# SRM: Requirements according to FitSM-1



## PR3 Service Reporting

### REQUIREMENTS

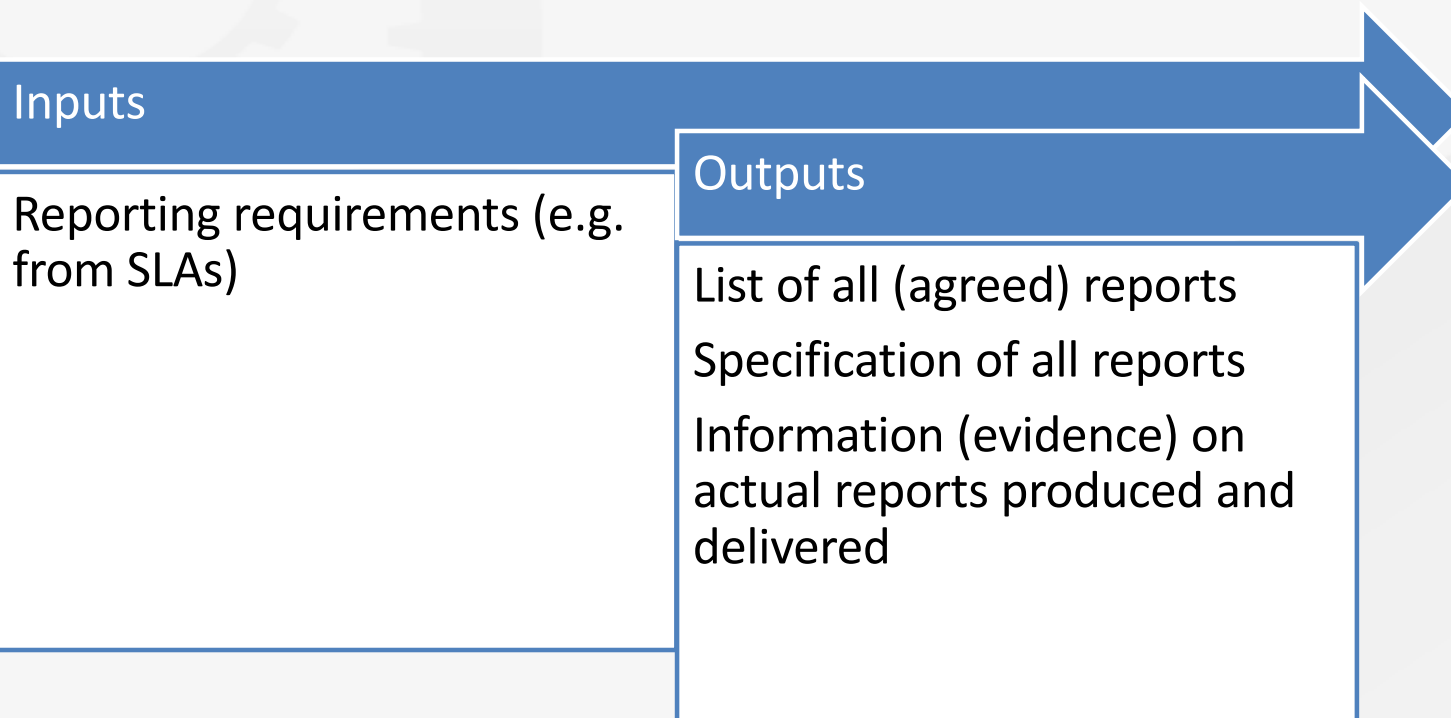
- PR3.1 Required reports shall be identified. Reporting shall cover performance of services and processes against defined targets, significant events and detected nonconformities.
- PR3.2 Reports shall be agreed with their recipients and specified. The specification of each report shall include its identity, purpose, audience, frequency, content, format and method of delivery.
- PR3.3 Reports shall be produced and delivered to their recipients according to specifications.



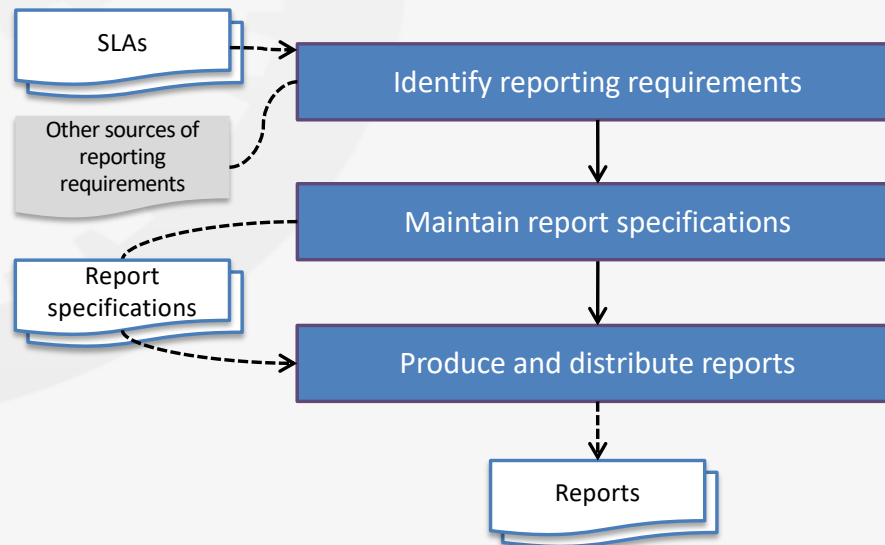
### Initial process setup

- Create a list of all reports that are currently produced or will be produced on a regular basis.
- Specify every identified report by giving the report a unique name (ID), describing the purpose of the report, identifying its audience / addressee, defining its frequency, outlining the intended contents of the report, and defining its format and method of delivery.
- Define templates for reports to standardise / harmonise the report structure and support effective and repeatable reporting.

# SRM: Inputs and outputs according to FitSM-2



# SRM: Process chart according to FitSM-2





### Ongoing process execution

- **Identify reporting requirements**

- Derive targets, events and nonconformities to be reported to customers based on SLAs
- Identify targets, events and nonconformities to be reported to internal stakeholders to support management of the SMS

- **Maintain report specifications**

- Define/specify a new report
- Update a report specification
- Terminate a report

- **Monitor the production and distribution of reports**

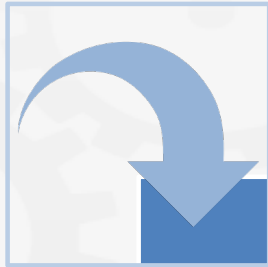
- Verify the production and distribution of reports according to specifications
- Initiate follow-up actions in case of inaccurate reporting

## SRM: Roles according to FitSM-3



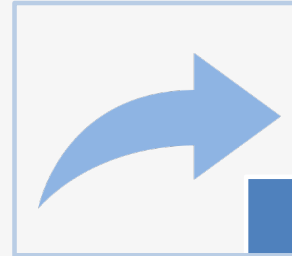
Role	Tasks	Number of implemented roles
<b>Process owner SRM</b>	<i>Generic tasks of a process owner applied in the context of SRM</i>	1 in total
<b>Process manager SRM</b>	<p><i>Generic tasks of a process manager, plus:</i></p> <ul style="list-style-type: none"> <li>• Maintain the list of reports.</li> <li>• Review report specifications in regular intervals.</li> <li>• Monitor the production of accurate reports. according to specifications.</li> </ul>	1 in total
<b>Case owner: Report owner</b>	<ul style="list-style-type: none"> <li>• Maintain the report specification for the report under their ownership.</li> <li>• Produce and deliver the report according to the specification.</li> <li>• Ensure that the input / contributions required to produce the report is provided in time.</li> <li>• Understand new or changed requirements on the report under their ownership and update the report specification accordingly.</li> </ul>	1 per report

# SRM: Interfaces according to FitSM-2



## Incoming

- **SLM:** SLAs with agreed service targets as a basis for identifying service reporting requirements, i.e. understanding the reporting requirements agreed in SLAs
- **SLM:** Data from evaluation of SLAs, OLAs and UAs as a basis for reports
- **SACM:** Service availability data as a basis for reports
- **CAPM:** Performance and utilisation data as a basis for reports



## Outgoing

- **CRM:** Relevant reports as a basis for managing customer relationships and customer satisfaction
- **CSI:** Reports as an information basis related to opportunities for improving services and the SMS



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## Service Availability & Continuity Management (SACM)

### Objective

To ensure sufficient service availability and continuity to meet service targets

## SACM: Key questions



How are the requirements for service availability and continuity determined?



How are the measures planned that have to be taken to meet the requirements?



How is service availability monitored?

# SACM: Why availability AND continuity?



## Availability

**Goal:** Service is available frequently enough to meet customer needs -> continuous operation

**Guard against:** downtime/unavailability through 'normal' failures and issues

**Input:** SLA

**Output:** Plans

## Continuity

**Goal:** Sufficient disaster protection to ensure continual operation of key services under all circumstances

**Guard against:** downtime/unavailability through 'exceptional' failures, disasters and crises

**Input:** SLA, risk factors

**Output:** Plans, risk assessments

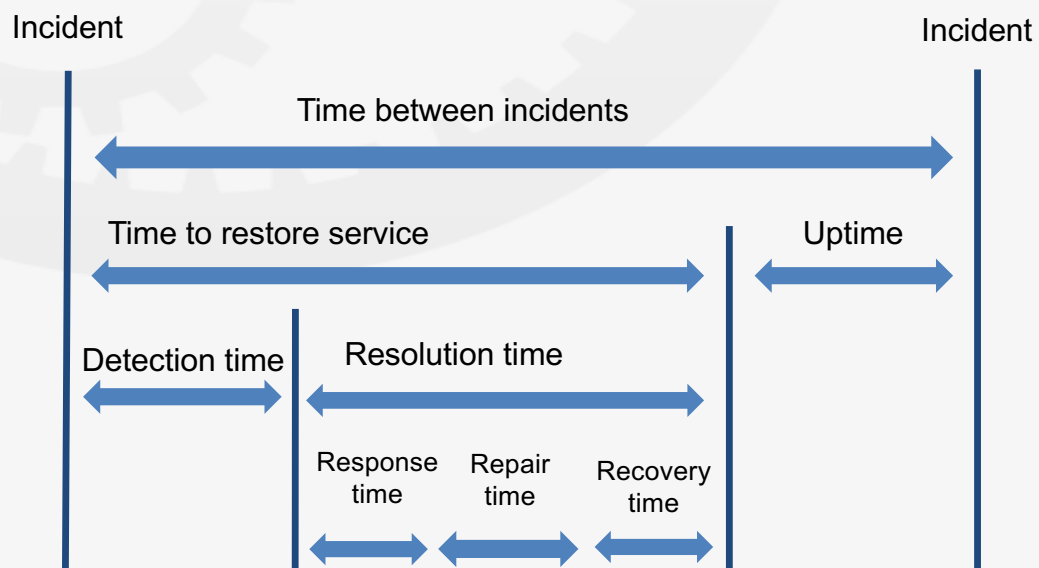


# SACM: Important terms according to FitSM-0

Definition following FitSM-0:

**Availability:**

Ability of a service or service component to fulfil its intended function at a specific time or over a specific period of time



$$\text{Availability} = \frac{\text{Agreed service time} - \text{downtime during service time}}{\text{Agreed service time}}$$



## SACM: Important terms according to FitSM-0

### Definition following FitSM-0:

#### **Continuity:**

Property of a service to maintain all or parts of its functionality, even in exceptional circumstances

Note: Exceptional circumstances include emergencies, crises or disasters which affect the ability to provide services over extended periods of time.

### Definition following FitSM-0:

#### **Risk:**

Possible negative occurrence that would have a negative impact on the service provider's ability to deliver agreed services to customers, or that would decrease the value generated through some service

Note: Risk is made up of the probability of the threat entailed, the vulnerability to that threat of some asset, and the impact the threat would have, if it occurred.

# SACM: Requirements according to FitSM-1



## PR4 Service Continuity & Availability Management

### REQUIREMENTS

- PR4.1 Service availability and continuity requirements shall be identified and reviewed at planned intervals, taking into consideration SLAs.
- PR4.2 Service availability and continuity risks shall be assessed at planned intervals.
- PR4.3 Appropriate measures shall be taken to reduce the probability and impact of identified availability and continuity risks and meet identified requirements.
- PR4.4 Availability of services and service components shall be monitored.



### Initial process setup

- Identify the most critical service availability and continuity requirements based on SLAs and other sources of information.
- Define the structure and format of a (generic) service availability and continuity plan.
- Define an approach to monitor service availability (and continuity) and to record the results on an ongoing basis.

# SACM: Inputs and outputs according to FitSM-2



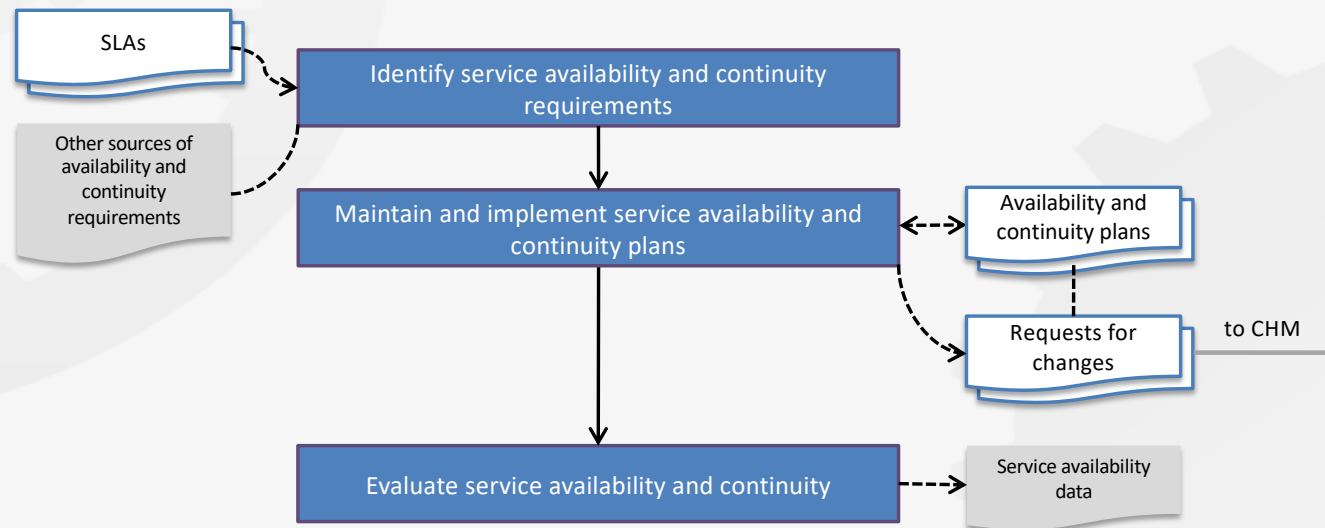
## Inputs

Service availability and continuity requirements (e.g. from SLAs)  
Risk factors having impact on the capability of delivering services according to agreed availability and continuity targets

## Outputs

Service availability and continuity plans  
Risk assessments  
Service availability data  
Requests for change

# SACM: Process chart according to FitSM-2



# SACM: Activities according to FitSM-2



## Ongoing process execution

- **Identify service availability and continuity requirements**
  - Derive availability targets from SLAs
  - Identify continuity requirements based on SLAs and business impact analysis
- **Maintain and implement service availability and continuity plans**
  - Assess risks related to service availability and continuity
  - Create service continuity and availability plans
  - Implement preventive measures from plans
  - Review, update or terminate service continuity and availability plans
- **Evaluate service availability and continuity**
  - Monitor service availability
  - Perform service continuity tests for reactive measures from plans



## SACM: Roles according to FitSM-3

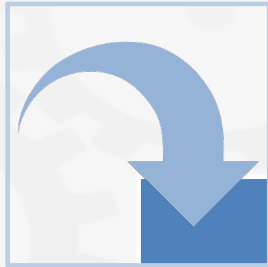
Role	Tasks	Number of implemented roles
<b>Process owner SACM</b>	<i>Generic tasks of a process owner applied in the context of SACM</i>	1 in total
<b>Process manager SACM</b>	<i>Generic tasks of a process manager, plus:</i> <ul style="list-style-type: none"><li>• Identify service availability and continuity requirements.</li><li>• Ensure that the input / contributions required to produce service availability and continuity plans are provided by relevant parties.</li><li>• Produce, maintain and review all service availability and continuity plans regularly.</li><li>• Ensure that measures to increase service availability and continuity (according to plans) are planned and implemented under the control of the change management process.</li><li>• Act as a contact point in case of questions regarding service availability and continuity requirements and measures.</li></ul>	1 in total

## SACM: Roles according to FitSM-3



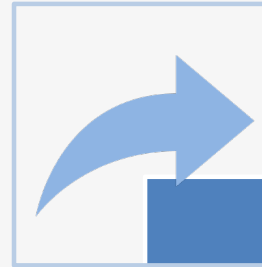
Role	Tasks	Number of implemented roles
<b>Case owner: Availability plan owner / continuity plan owner</b>	<ul style="list-style-type: none"><li>• Create and maintain the availability or continuity plan under their ownership.</li><li>• Ensure that relevant stakeholders in the context of the plan are consulted and informed when creating, updating or implementing the plan.</li><li>• Ensure the plan and any updates to it are approved according by relevant authorities.</li><li>• Based on the contents of the final / approved plan, raise requests for changes or trigger the continual service improvement process, as required.</li><li>• In case of a continuity plan: Ensure that the needs for testing the plan are identified and tests of preventive or reactive measures are performed regularly.</li></ul>	1 per availability plan / continuity plan

## SACM: Interfaces according to FitSM-2



### Incoming

- **SLM:** SLAs with agreed service availability and continuity targets as a basis for identifying overall availability and continuity requirements



### Outgoing

- **CHM:** Requests for change addressing required updates or modifications to Cis as a basis for implementing the measures necessary to enable the IT service environment to meet identified availability and continuity requirements
- **SRM:** Service availability data as a basis for reports



Standards for lightweight  
IT service management

## Capacity Management (CAPM)

### Objective

To ensure sufficient capacity and service performance to meet service targets

## CAPM: Key questions



How are the requirements for service performance and capacity determined?



How are the measures planned that have to be taken to meet the requirements?



How is service performance and utilisation monitored?



## CAPM: Important terms according to FitSM-0

Definition following FitSM-0:

### **Capacity:**

Maximum extent to which a certain element of the infrastructure (such as a configuration item) can be used

Note: This might mean the total disk capacity or network bandwidth. It could also be the maximum transaction throughput of a system.

# CAPM: Requirements according to FitSM-1



## PR5 Capacity Management

### REQUIREMENTS

- PR5.1 Service capacity and performance requirements shall be identified and reviewed at planned intervals, taking into consideration SLAs and predicted demand.
- PR5.2 Current capacity and utilisation shall be identified.
- PR5.3 Future capacity shall be planned to meet identified requirements, considering human, technical and financial resources.
- PR5.4 Performance of services and service components shall be analysed based on monitoring the degree of capacity utilisation and identifying operational warnings and exceptions.

## CAPM: Activities according to FitSM-2



### Initial process setup

- Define the structure and format of a (generic) capacity plan.
- Define an approach to monitor service performance and capacity (including utilisation of resources) and to record the results on an ongoing basis.



## CAPM: Inputs and outputs according to FitSM-2

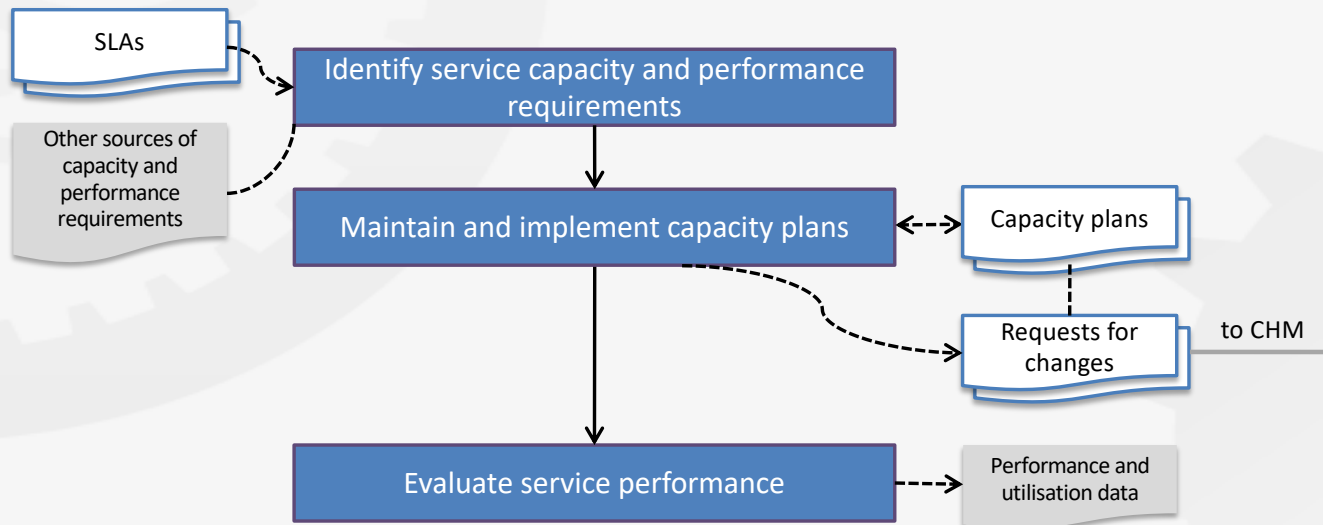
### Inputs

Service performance and capacity requirements (e.g. from SLAs)  
Current level of capacities plus information on the past, current and future (predicted) utilisation of resources  
Information on available resources and constraints

### Outputs

Capacity plans (reflecting demands, planned upgrades, downgrades and reallocations of resources)  
Capacity and service performance monitoring plans / concept  
Capacity and service performance monitoring records / reports

# CAPM: Process chart according to FitSM-2



## CAPM: Activities according to FitSM-2



### Ongoing process execution

- **Identify service capacity and performance requirements**
  - Derive performance targets from SLAs
  - Translate performance targets into capacity requirements
- **Maintain and implement capacity plans**
  - Create capacity plans
  - Ensure capacity according to plans
  - Review, update or terminate capacity plans
- **Evaluate service performance**
  - Monitor performance of services and service components
  - Monitor capacity including assessment against thresholds
  - Respond when capacity thresholds are exceeded

## CAPM: Roles according to FitSM-3



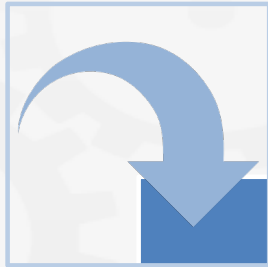
Role	Tasks	Number of implemented roles
<b>Process owner CAPM</b>	<i>Generic tasks of a process owner applied in the context of CAPM</i>	1 in total
<b>Process manager CAPM</b>	<i>Generic tasks of a process manager, plus:</i> <ul style="list-style-type: none"><li>• Identify service performance and capacity requirements.</li><li>• Ensure that the input / contributions required to produce capacity plans are provided by relevant parties.</li><li>• Produce, maintain and review capacity plans regularly.</li><li>• Ensure that measures to increase service performance and capacity (according to plans) are planned and implemented under the control of the change management process.</li><li>• Act as a contact point in case of questions regarding service performance and capacity requirements and measures.</li></ul>	1 in total

## CAPM: Roles according to FitSM-3



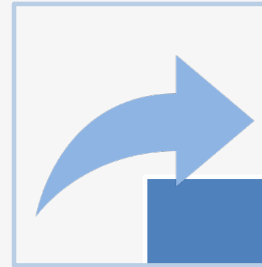
Role	Tasks	Number of implemented roles
<i>Case owner:</i> <b>Capacity plan owner</b>	<ul style="list-style-type: none"><li>• Create and maintain the capacity plan under their ownership.</li><li>• Ensure that relevant stakeholders in the context of the plan are consulted and informed when creating, updating or implementing the plan.</li><li>• Ensure the plan and any updates to it are approved according to relevant authorities.</li><li>• Based on the contents of the final / approved plan, raise requests for changes or trigger the CSI process, as required.</li></ul>	1 per capacity plan

## CAPM: Interfaces according to FitSM-2



### Incoming

- **SLM:** SLAs with agreed capacity and performance targets as a basis for identifying overall capacity and performance requirements



### Outgoing

- **CHM:** Request for changes addressing required updates or modifications to CIs as a basis for implementing the capacity planning to enable the IT service environment to meet identified capacity and performance requirements
- **SRM:** Performance and utilisation data as a basis for reports



Standards for lightweight  
IT service management

## Information Security Management (ISM)

### Objective

To preserve confidentiality, integrity and availability of information related to managing and delivering services

# ISM: Key questions



How are information security requirements determined?



How are information security controls and policies established, based on an understanding of relevant risks?



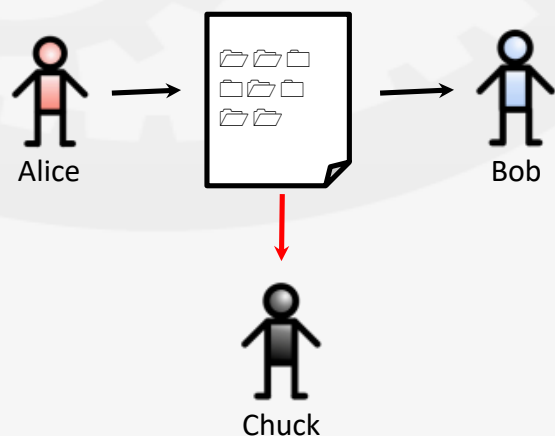
How are information security events monitored and information security incidents handled?



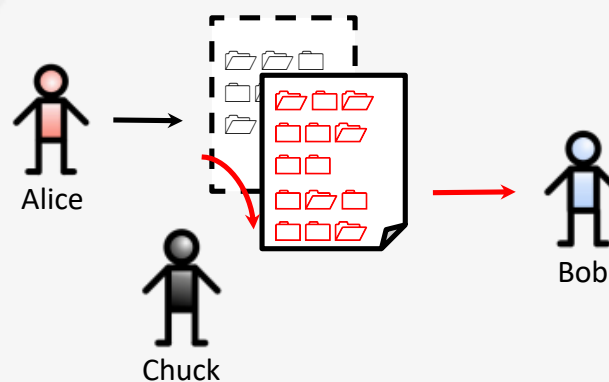
How are access rights managed?

# ISM: Important terms according to FitSM-0

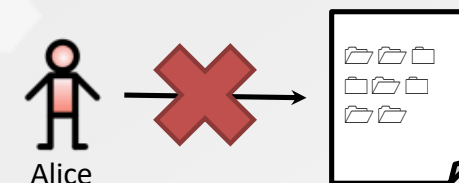
**Confidentiality:** Property of information not being accessible to unauthorised parties



**Integrity:** Property of information not being subject to unauthorised modification, duplication or deletion



**Availability of information:** Property of information being available to and usable by an authorised party



Note: Availability of information may also be referred to as accessibility of information.

# ISM: Requirements according to FitSM-1



## PR6 Information Security Management

### REQUIREMENTS

- PR6.1 Information security requirements shall be identified and information security policies defined and reviewed at planned intervals.
- PR6.2 Information security risks shall be assessed at planned intervals.
- PR6.3 Physical, technical and organisational information security controls shall be implemented to reduce the probability and impact of identified information security risks and meet identified requirements.
- PR6.4 Information security events and incidents shall be handled in a consistent manner.
- PR6.5 Access control, including provisioning of access rights, shall be carried out in a consistent manner.

## ISM: Activities according to FitSM-2

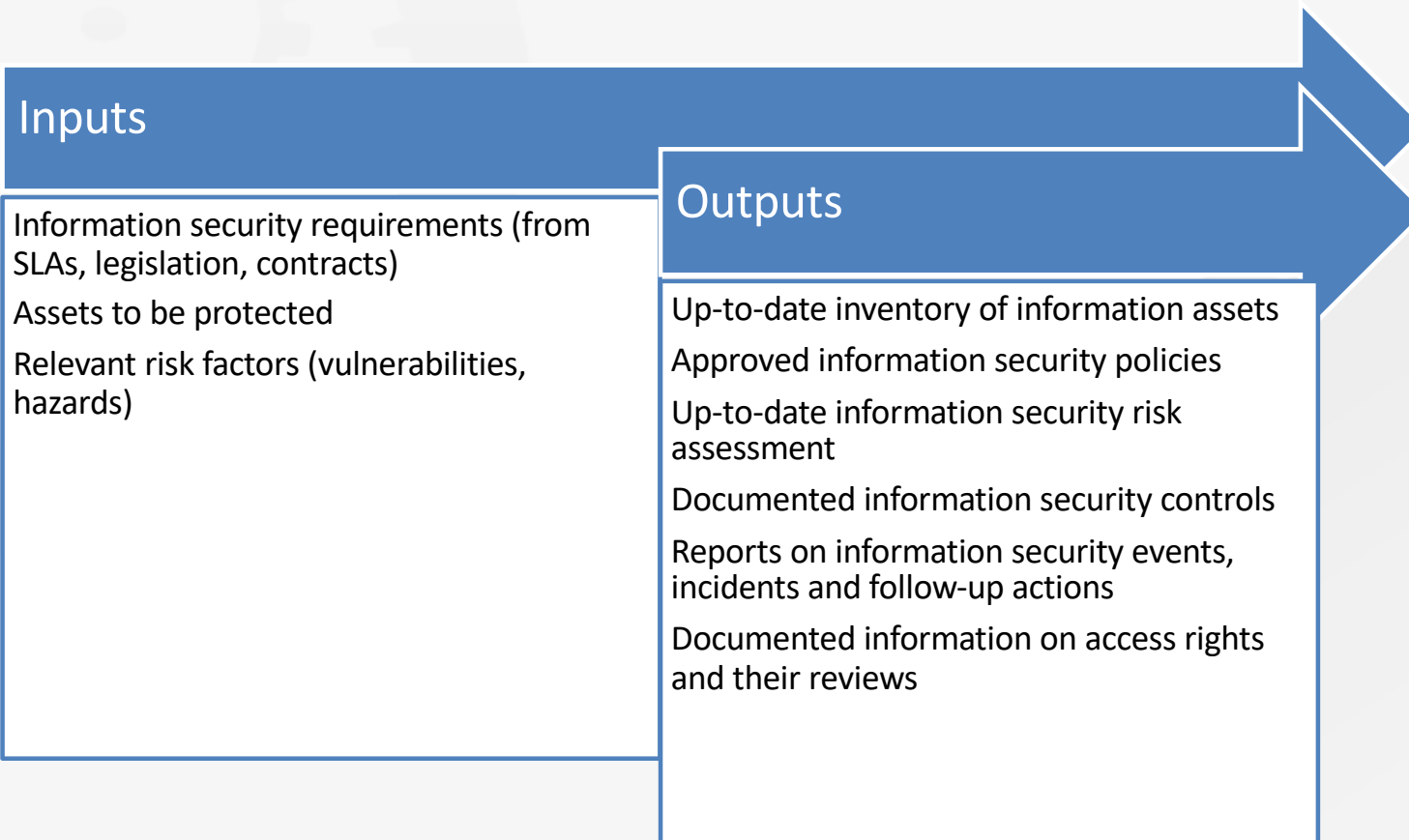


### Initial process setup

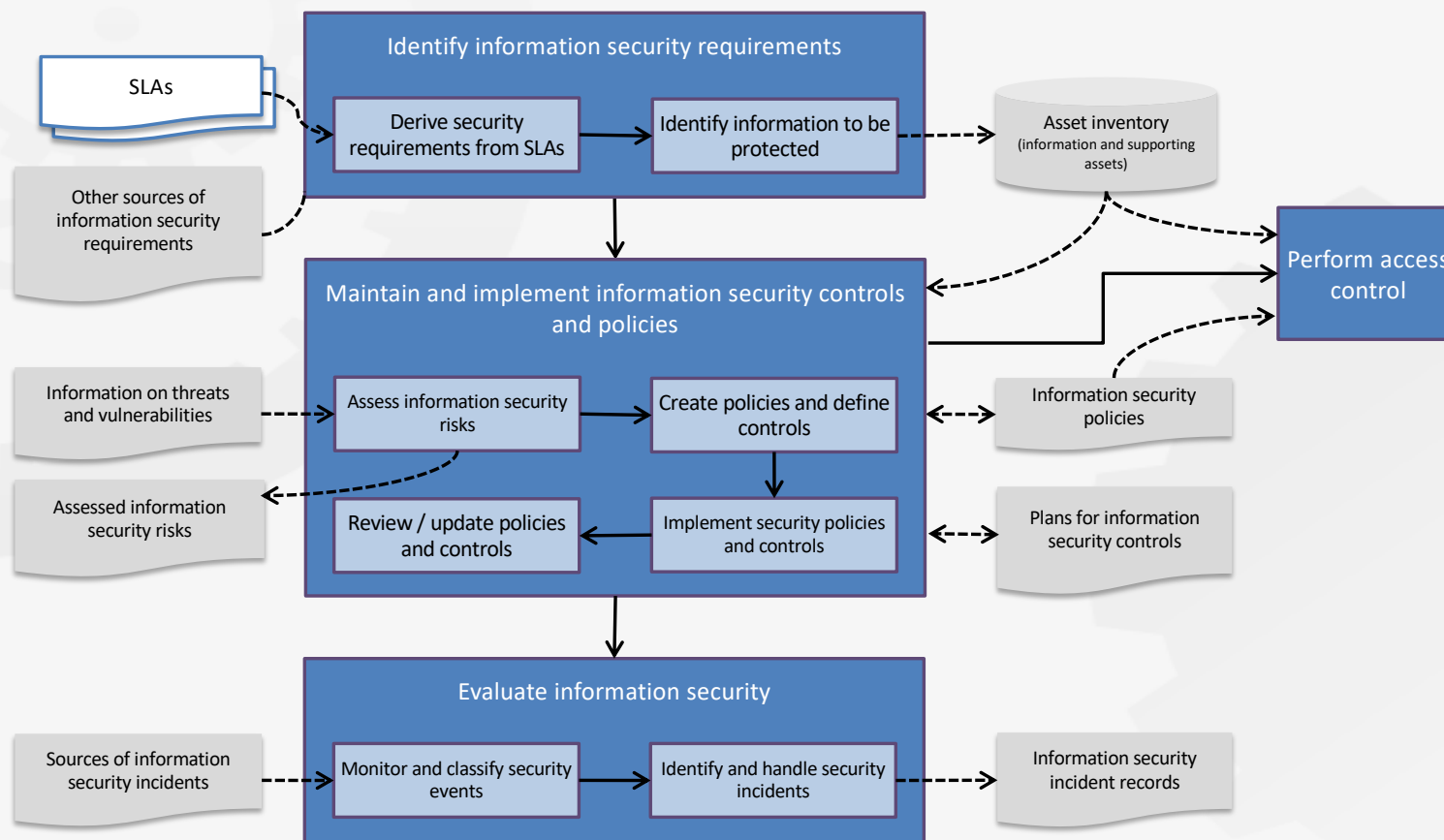
- Define a scheme to classify information assets according to their sensitivity / criticality.
- Define a way to document an inventory of (information) assets.
- Identify, describe and classify the most important information assets.
- Identify the most important links between service components such as information-processing systems / facilities and the information assets identified before.
- Define a method / scheme to identify and assess information security risks.
- Perform an initial risk assessment, based on the identified assets, and focused on the most significant information security risks.
- Define clear information security policies as a basis for effective information security governance.
- Define a way to document information security controls and to monitor their status and progress of implementation.
- Identify and document the most important technical, physical and organisational information security controls in place.



# ISM: Inputs and outputs according to FitSM-2



# ISM: Process chart according to FitSM-2



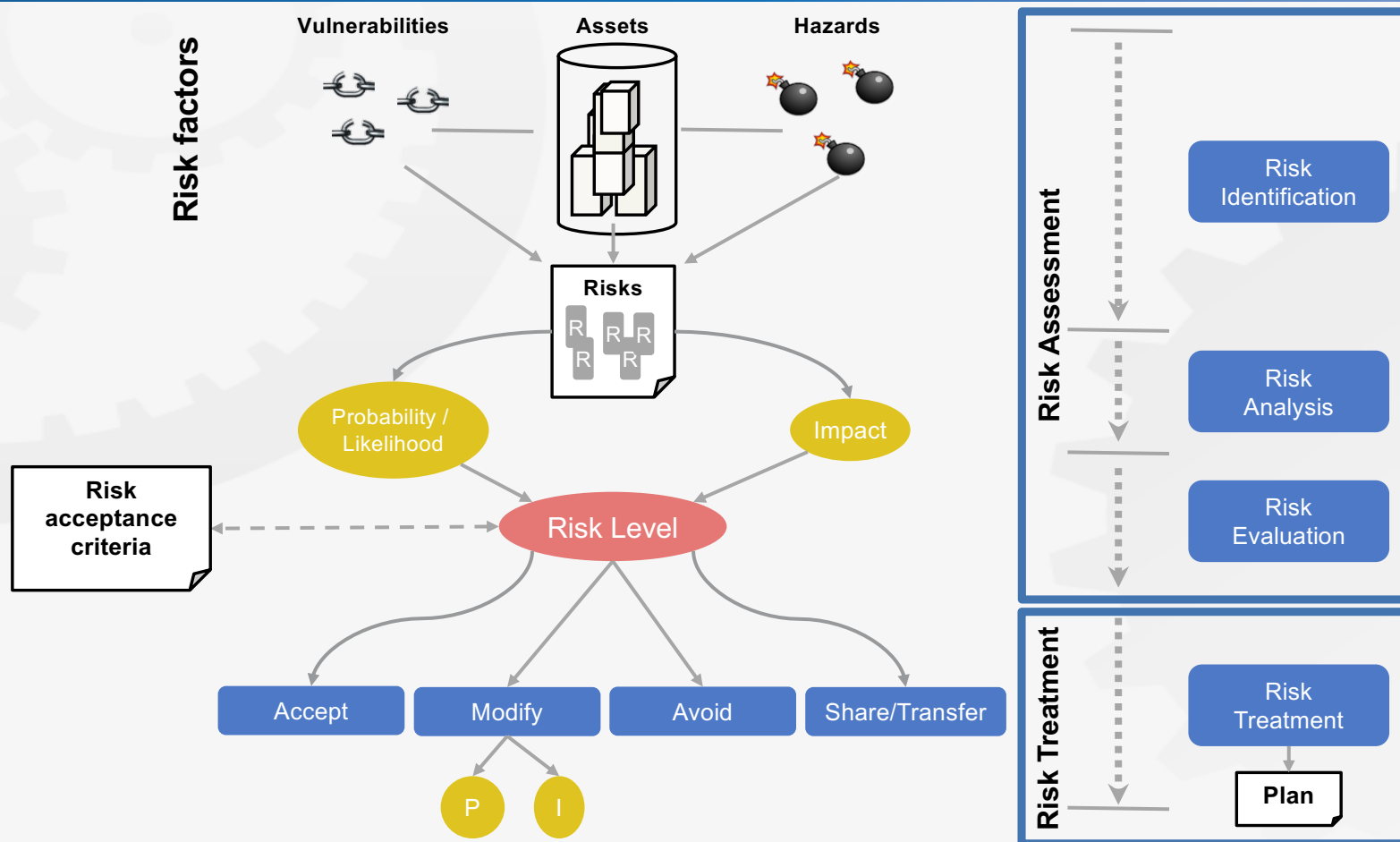
# ISM: Activities according to FitSM-2



## Ongoing process execution

- **Identify information security requirements**
  - Derive information security requirements from SLAs
  - Identify information (assets) to be protected and their needs in terms of confidentiality, integrity and availability
- **Maintain and implement information security controls and policies**
  - Assess risks related information security
  - Create information security policies and define other controls
  - Implement information security controls
  - Review, update or terminate information security policies and other controls
- **Evaluate information security**
  - Monitor, record and classify information security events
  - Identify and handle information security incidents
- **Perform access control**
  - Process requests for access rights
  - Provide access rights
  - Modify or revoke access rights
  - Review access rights (at regular intervals)

# ISM: Key concepts and relationships – Visualisation



# ISM: Roles according to FitSM-3



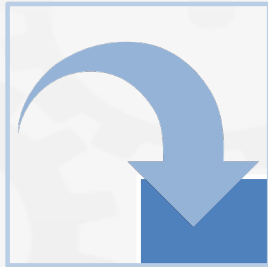
Role	Tasks	Number of implemented roles
<b>Process owner ISM</b>	<i>Generic tasks of a process owner applied in the context of ISM</i>	1 in total
<b>Process manager ISM</b>  (Information security manager / officer)	<p><i>Generic tasks of a process manager, plus:</i></p> <ul style="list-style-type: none"> <li>• Act as the primary contact of the service provider for all information security-related issues.</li> <li>• Monitor the status and progress of all activities connected to the process of information security management, in particular, the assessment and treatment of information security risks and handling of information security events and incidents.</li> <li>• Ensure that information security incidents are detected and classified as such and as quickly as possible handled in an effective way to minimise harm caused by them.</li> <li>• Ensure that all security-related documentation is maintained and up to date.</li> <li>• Ensure that security risks and controls are assigned to case owners.</li> </ul>	1 in total

## ISM: Roles according to FitSM-3



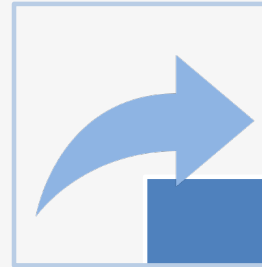
Role	Tasks	Number of implemented roles
<i>Case owner:</i> <b>Security risk owner</b>	<ul style="list-style-type: none"><li>• Maintain and review the specification / documentation of a specific security risk.</li><li>• Act as a primary contact point and expert for the risk under their ownership.</li></ul>	1 per security risk
<i>Case owner:</i> <b>Security control owner</b>	<ul style="list-style-type: none"><li>• Maintain and review the specification / documentation of a specific security control.</li><li>• Act as a primary contact point and expert for the control under their ownership.</li></ul>	1 per security control

# ISM: Interfaces according to FitSM-2



## Incoming

- **SLM:** SLAs with agreed information security targets as a basis for identifying overall security requirements



## Outgoing

- **CHM:** Requests for changes addressing required updates or modifications to CIs as a basis for implementing the information security controls as far as they relate to CIs supporting the service



Standards for lightweight  
IT service management

## Customer Relationship Management (CRM)

### Objective

To establish and maintain good relationships with customers receiving services



## CRM: Key questions



Who are the customers and users of the IT services?



How are the relationships with customers managed, and what are the best ways to get or stay in touch with your customers?



Are the services matching customer needs and leading to customer satisfaction?



How are customer complaints handled?

# CRM: Important terms according to FitSM-0



## Definition following FitSM-0:

### **Customer:**

Organisation or part of an organisation that commissions a service provider in order to receive one or more services

Note: A customer usually represents a number of users.

## Definition following FitSM-0:

### **User:**

Individual that primarily benefits from and uses a service

# CRM: Requirements according to FitSM-1



## PR7 Customer Relationship Management

### REQUIREMENTS

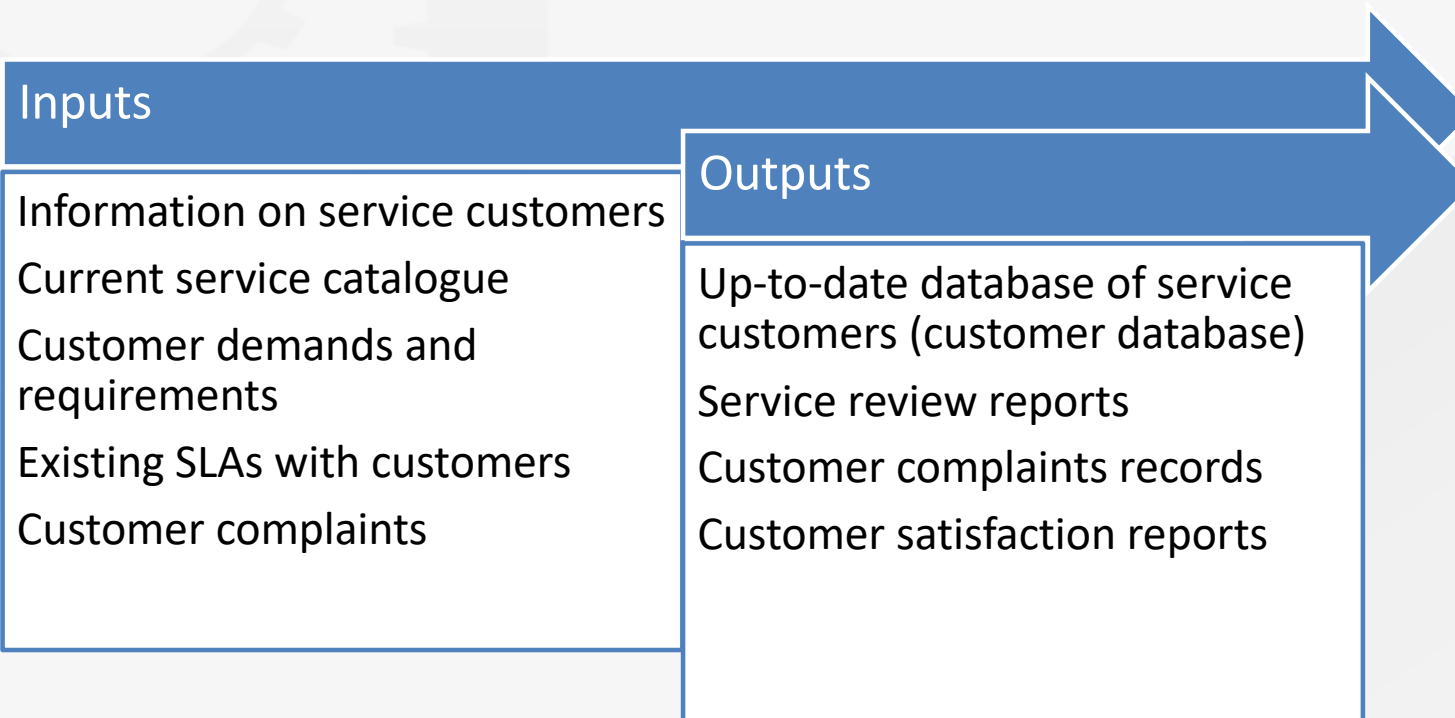
- PR7.1 Service customers shall be identified.
- PR7.2 For each customer, there shall be a designated contact responsible for managing the relationship with them.
- PR7.3 Channels used to communicate with each customer, including mechanisms for service ordering, escalation and complaint shall be established.
- PR7.4 Service reviews with customers shall be conducted at planned intervals.
- PR7.5 Service complaints from customers shall be handled in a consistent manner.
- PR7.6 Customer satisfaction shall be managed.



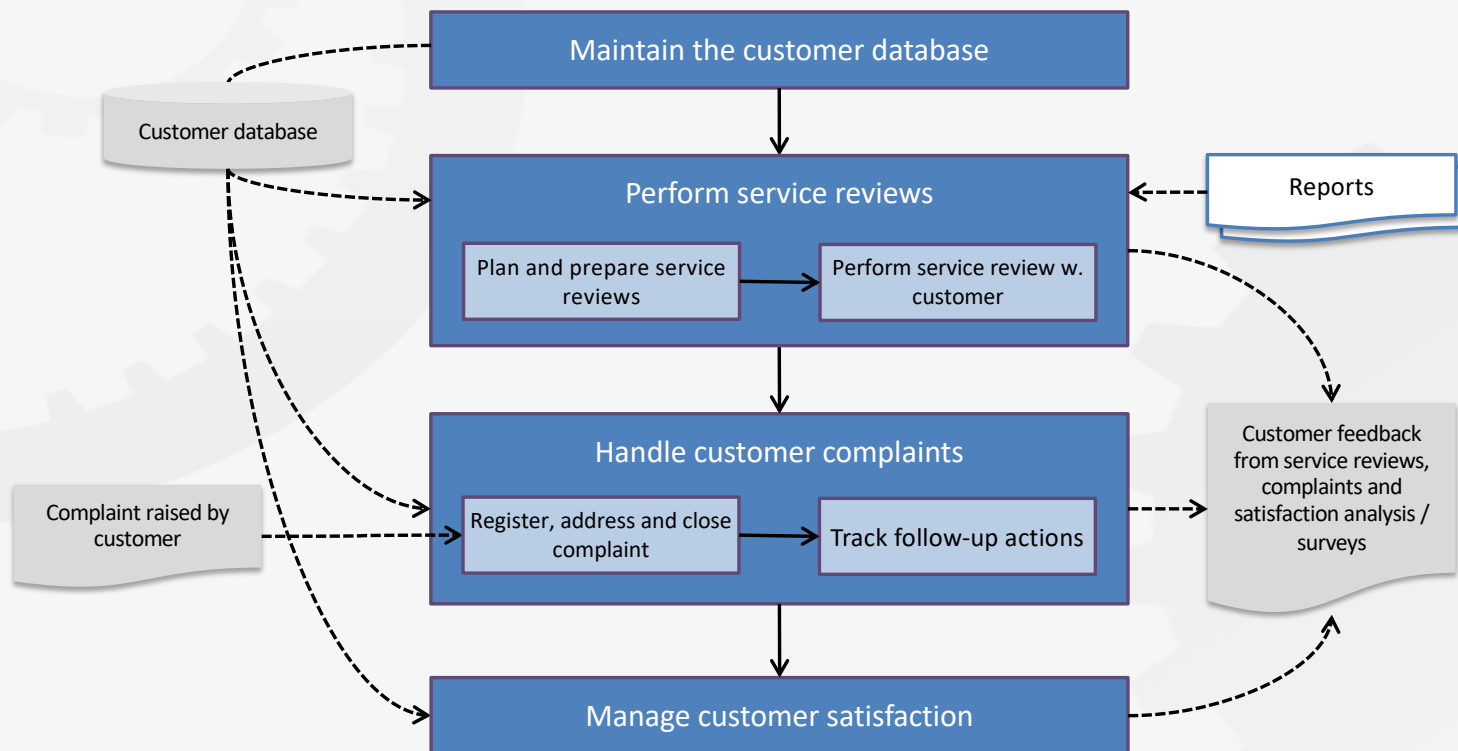
### Initial process setup

- Set up an initial customer database, and for each service customer document the most important information including contact information.
- Decide on general communication channels to be used for customer engagement (e.g. ordering, escalation and complaints).
- Define a way to perform and document the results of a service review.
- Define a way to record, respond to and follow-up a customer complaint.
- Define a way to evaluate customer satisfaction on a regular basis, e.g. based on regular (online) surveys.

# CRM: Inputs and outputs according to FitSM-2



# CRM: Process chart according to FitSM-2



# CRM: Activities according to FitSM-2



## Ongoing process execution

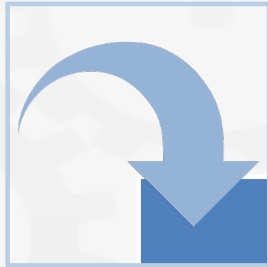
- **Maintain the customer database**
  - Add a new customer to the customer database (including contact information)
  - Update the information on a customer in the customer database
  - Remove a customer from the customer database
- **Perform customer service reviews**
  - Plan and prepare service reviews with customers
  - Perform and record a service review with a customer
- **Handle customer complaints**
  - Record, address and close a customer complaint
  - Track the implementation status of actions following a customer complaint
  - Review all customer complaints and follow-up actions periodically
- **Manage customer satisfaction**
  - Plan and implement measures to assess customer satisfaction
  - Initiate follow-up actions in response to insufficient customer satisfaction

## CRM: Roles according to FitSM-3



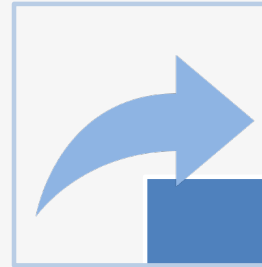
Role	Tasks	Number of implemented roles
<b>Process owner CRM</b>	<i>Generic tasks of a process owner applied in the context of CRM</i>	1 in total
<b>Process manager CRM</b>	<p><i>Generic tasks of a process manager, plus:</i></p> <ul style="list-style-type: none"> <li>• Maintain the customer database.</li> <li>• Ensure that customer complaints are handled according to the process.</li> <li>• Coordinate customer satisfaction surveys.</li> <li>• Review the results from customer service reviews.</li> </ul>	1 in total
<p><i>Case owner:</i> <b>Customer relationship manager</b></p> <p>(Account manager)</p>	<ul style="list-style-type: none"> <li>• Act as the primary contact point for a specific customer.</li> <li>• Maintain the relationship with that customer by regular communication.</li> <li>• Process formal customer complaints.</li> <li>• Conduct, moderate and record customer service reviews.</li> </ul>	1 per identified customer

# CRM: Interfaces according to FitSM-2



## Incoming

- **SLM:** Service catalogue for available services that are offered to customers
- **SLM:** SLAs reflecting what has been agreed with customers together with reports to support service reviews with customers
- **SRM:** Relevant reports as a basis for managing customer relationships and customer satisfaction



## Outgoing

- **SPM:** Identified customer requirements as a factor to be considered to identify demand for new or changed services
- **SLM:** Information on customers and identified customer-specific service level requirements (e.g. based on customer feedback or resulting from service reviews with customers) as a basis for defining SLAs
- **CHM:** Requests for changes (e.g. to address insufficient customer satisfaction, feedback from service reviews or customer complaints)
- **CSI:** Suggestions for improvement (e.g. to address insufficient customer satisfaction, feedback from service reviews or customer complaints)



Standards for lightweight  
IT service management

## Supplier Relationship Management (SUPPM)

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### Objective

To establish and maintain healthy relationships with internal and external suppliers and to monitor their performance

## SUPPM: Key questions



Who are the suppliers supporting the delivery of IT services?



How are the relationships with suppliers managed?



What are the best ways to get or stay in touch with your suppliers?



Are the suppliers performing as agreed and required?



## SUPPM: Important terms according to FitSM-0

Definition following FitSM-0:

### **Supplier:**

Organisation or party that provides a (supporting) service or service component(s) to the service provider, which the service provider needs to provide services to their customers / users

Note 1: A supplier may be internal or external to the organisation of the service provider.

Note 2: In a federation, the federation members are regarded as internal suppliers.

# SUPPM: Requirements according to FitSM-1



## PR8 Supplier Relationship Management

### REQUIREMENTS

- PR8.1 Internal and external suppliers shall be identified.
- PR8.2 For each supplier, there shall be a designated contact responsible for managing the relationship with them.
- PR8.3 Channels used to communicate with each supplier, including escalation mechanisms, shall be established.
- PR8.4 Suppliers shall be evaluated at planned intervals.

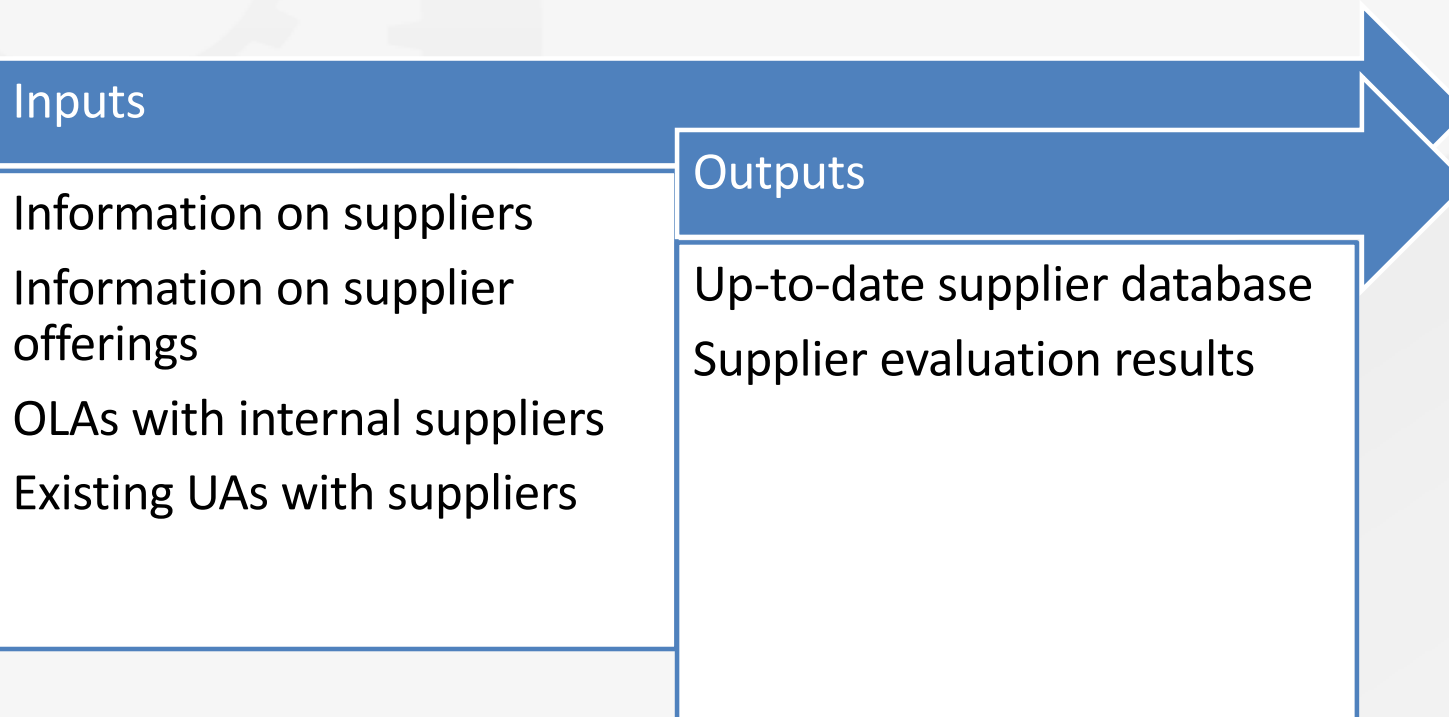


### Initial process setup

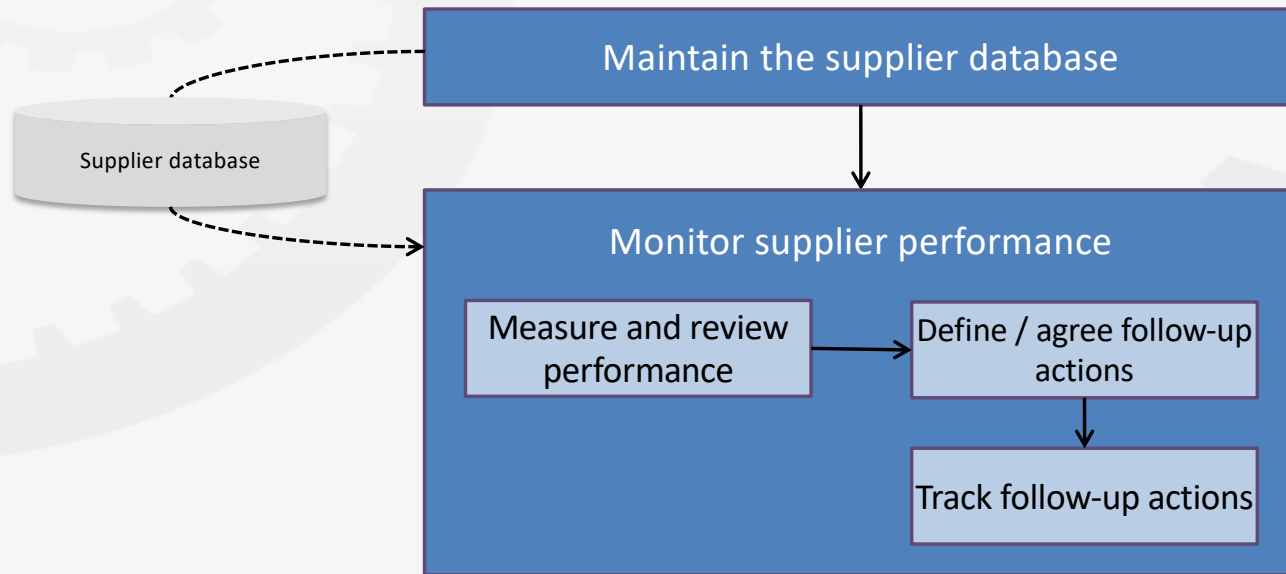
- Set up an initial supplier database (covering all internal and external suppliers).
- For each supplier, document the most important information including contact details both on the supplier side as well as on the service provider side (supplier relationship manager).
- Understand which supplier services or service components need to be monitored, and how the monitoring will take place.



## SUPPM: Inputs and outputs according to FitSM-2



# SUPPM: Process chart according to FitSM-2





### Ongoing process execution

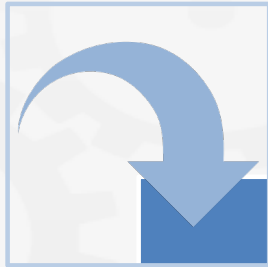
- **Maintain the supplier database**
  - Add a new supplier to the supplier database (including contact information)
  - Update the information on a supplier in the supplier database
  - Remove a supplier from the supplier database
- **Monitor supplier performance**
  - Evaluate supplier performance
  - Together with the supplier, agree on follow-up actions in response to insufficient supplier performance
  - Track the implementation status of agreed follow-up actions with suppliers



## SUPPM: Roles according to FitSM-3

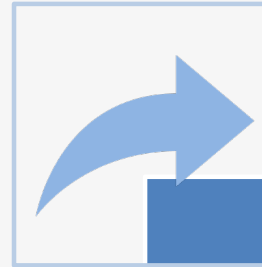
Role	Tasks	Number of implemented roles
<b>Process owner SUPPM</b>	<i>Generic tasks of a process owner applied in the context of SUPPM</i>	1 in total
<b>Process manager SUPPM</b>	<i>Generic tasks of a process manager, plus:</i> <ul style="list-style-type: none"><li>• Maintain the supplier database.</li><li>• Ensure that supplier performance is monitored according to the process.</li></ul>	1 in total
<b>Case owner: Supplier relationship manager</b>	<ul style="list-style-type: none"><li>• Act as the primary contact point for a specific supplier.</li><li>• Maintain the relationship with that supplier by regular communication.</li><li>• Maintain mechanisms for monitoring the performance of the supplier.</li></ul>	1 per identified supplier

## SUPPM: Interfaces according to FitSM-2



### Incoming

- **SPM:** Information on internal and external suppliers involved in delivering a given service (part of plans for new or changed services) as a basis for the identification of new suppliers
- **SLM:** OLAs and UAs together with reports on operational targets to support supplier performance evaluation



### Outgoing

- **SPM:** Information on suppliers as a basis for identifying suppliers involved in the delivery of a given service
- **SLM:** Information on suppliers as a basis for new or updated OLAs and UAs



## FitSM Advanced Level exam

- Closed book, i.e. no aids are allowed
- Duration: 60 minutes
- 30 multiple choice questions:
  - Four possible answers for each question: A, B, C or D
  - One correct answer per question
- At least 70% correct answers (21 of 30) are required to pass the examination





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