



WHITE PAPER

ITIL version 3 in Perspective

A white paper on what it means to implement ITIL V3

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ITIL v3 in Perspective

There has already been a lot written, and spoken about the ITIL Refresh aka Version 3 (V3). Should you do it? What does it mean? What difference does it make? You can read the books (5 of them) and take the Foundation bridging exam, both of which I have done. But this takes time, and purpose, to make sense of it all.

Earlier this year I endeavoured to make sense of it all and embarked on a project to convert a full set of V2 processes into a full set of V3 processes. This white paper examines and summarises the differences between the versions. If you are contemplating the change, I have also included some benefits and starting points for you to consider.

HIGH LEVEL SUMMARY OF THE CHANGES

ITIL V2 is a detailed and practical approach to IT service management. It defines the 10 processes (and one function) in a set of two books. These processes are not lost in V3. They have been adapted and enhanced, even expanded. This means that processes implemented under V2 can still be valid in V3.

Where V3 differs is in its scope. It covers the whole lifecycle of a service from strategy to retirement introducing concepts such as the service portfolio and also includes the development of the IT strategy. This is the next logical step to a truly service focused IT department.

Traditionally IT Service Management is organized into the Operations and Support functions of the department and not considered until the point of go-live. This means that new services and systems can be thrown over the fence without a backward glance! In the new V3 structure this is no longer the case. IT Service Management is part of the strategy team, the design team, directly interfaces with the PMO and plays a strong role in the whole transition of a service, as well as supporting the live solution. This makes a huge difference to the standing of the IT Service Management staff in the organisation and may prove to be the hardest evolution of them all.

However, those that do achieve this are likely to see long term benefits in service levels, cost management and customer satisfaction, as those organisations that are already there will testify.

The next sections take the conversion in a practical sense defining differences in the books and the processes (including terminology and documents).

As you are reading this, consider your own ITSM as it stands and where adoption of V3 might gain you benefit. ITIL is still a guideline that you can develop to suit your organisation.

HOW THE BOOKS HAVE CHANGED

As you will already know, there were 2 core books, red for Service Delivery and blue for Service Support. Now there are 5 for which the colours are matched as close as possible.

ITIL V2

Service Support

Incident
Problem
Configuration
Change
Release
>Service Desk

Service Delivery

SLM
Availability
Capacity
ITSCM
IT Financials

ITIL V3

Service Strategy (lime)

Financial Management
Demand Management
Service Portfolio Management

Service Design (Violet)

Service Catalogue Management
Availability
Capacity
ITSCM
SLM
Supplier Management
Information Security Management

Service Transition (Plum)

Change
Configuration
Release and Deployment

Service Operation (Aqua)

Event Management
Incident
Request Fulfilment
Problem
Access
>Service Desk
>Technical Management
>IT Operations Management
>Application Management

Continual Service Improvement (Indigo)

CSI

The new books are defined to reflect the Service Lifecycle however they cannot be placed end-to-end and strictly followed.

An example of this is SLM which can be broken down into three activity groups.

- Firstly in **Design** – define the requirements and service levels.
- Secondly, there is **Transition** – where updates required to the SLA/OLAs/UCs are made as a direct result of a specific change.
- Thirdly, once the service has been moved into **Operations**, there is the important business of monitoring and reporting the service levels against the SLA and reviewing them with the customer.

All of these are defined within the Service Design Book but are implemented throughout the lifecycle and organisation. This logic can be applied to the ITSC Plan, Availability Plan and Capacity Plan, but more of those later.

HOW THE PROCESSES HAVE CHANGED

Following, is a section on each book that describes the process structure, the actions required for each process and any new documents/systems required.

Service Strategy

Service Strategy is the first stage of any service, where the current supply and demand can be measured and assessed for the future. Within this section, a service is defined at its inception and then demand patterns, market potential and value is analysed. Once the Service Pipeline has been established a service is either rejected or "chartered" for development. When the service has been chartered it is added to the Service Catalogue but is still maintained throughout its lifecycle in the Service Portfolio.

The significant outcomes of Service Strategy are the Service Portfolio, Service Catalogue Entries, Budgets and Patterns of Business Analysis.

Below is a diagram showing the Service Strategy structure.

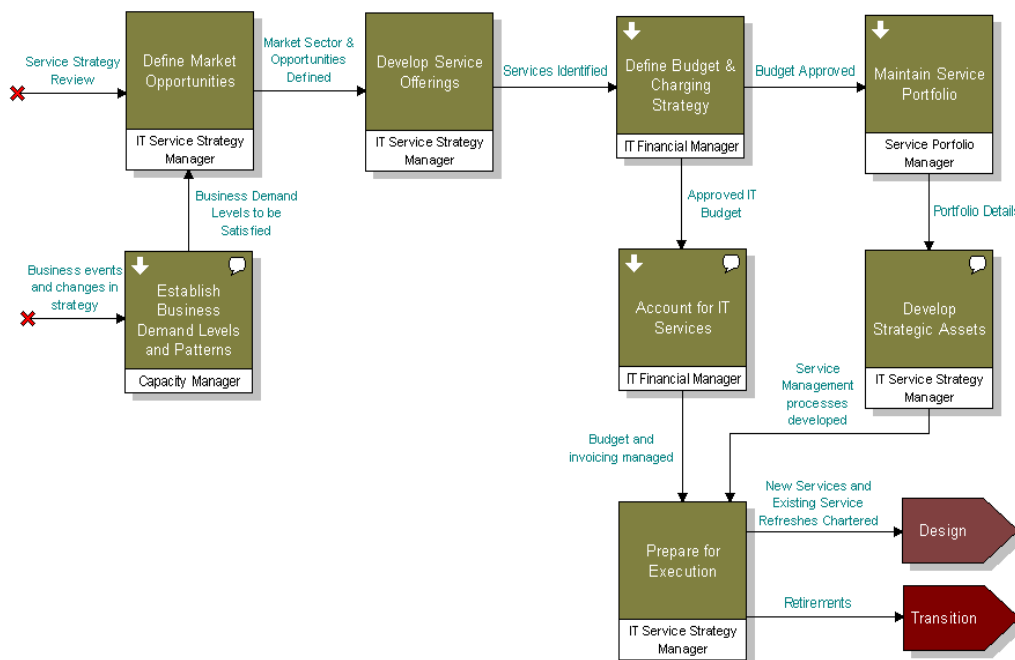


Figure 1 – Service Strategy

(diagram taken from Affinity™ - IT Service Management)

Service Strategy Process		
	Route to Conversion	New Documents/Systems
Financial Management	The process remains largely in tact although there is emphasis on Service valuation calculations.	Service valuation is measured in terms of warranty (quality), Utility (functionality and appropriateness) and customer perception.
Demand Management	A process originally defined in Capacity Management, this is now part of Service Strategy.	There is still a strong link to Capacity management and the information established here would be held in the CMIS (Capacity Management Information System)
Service Portfolio Management	This is a new process. The service portfolio is established in Service Strategy and then maintained throughout the lifecycle within Service Transition.	The service portfolio (new document/system) management includes assessments which incorporate the resources and capabilities required of the service and available to the service.

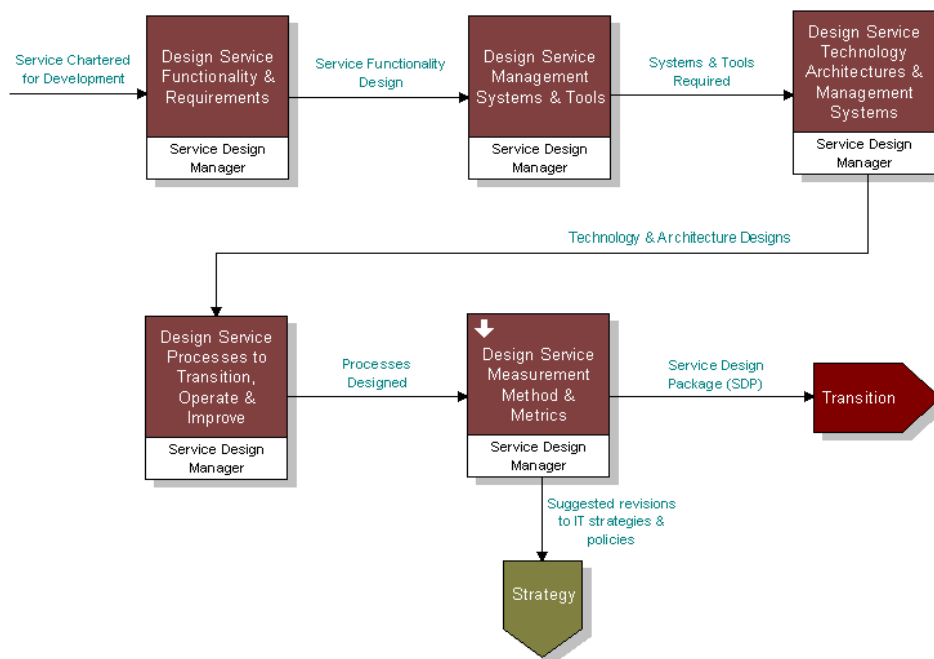
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Service Design

The goals of Service Design are to achieve designs that satisfy the business objectives and comply with any organisational or legal requirements. The functionality of the service is critical to achieving this and helps aligns IT to the business. Initially this involves collecting, analysing and documenting the requirements so that the next design steps can be carried out. The Acceptance Test Criteria is defined at this stage for future reference within the Transition.

All of the Service Design documents are consolidated into the Service Design Package (SDP).

Below is a diagram showing how the Service Design processes work together.



© Figure 1 – Service Design

(diagram taken from Affinity™ - IT Service Management)

N.B. the “Design Service Measurement Method & Metrics” activity drills down to the detail of writing the SLA, OLA, UCs, Capacity Plan, Availability Plan, ITSC Plan and test plans. These are all required to establish and measure the final solution to be deployed and are used to measure the service against within Service Operations.

Service Design Process		
	Route to Conversion	New Documents/Systems
Service Catalogue Management	The service catalogue was the responsibility of the SLM process but has now been separated.	There are two types of Service Catalogue a) External – for your customers b) Internal – for your IT Department.
Availability	The process has not changed	The AMIS (Availability Management Information System) has been introduced and holds Availability data as well as the plan.
Capacity	The process has not changed although demand management techniques have been transferred to Service Strategy.	The CMIS (Capacity Management Information System) has been introduced and holds Capacity information as well as the plan.
ITSCM	The process has not changed although for practical implementation I have incorporated the maintenance of the plan into Service Transition to ensure it is kept in line with the production service.	
SLM	The process now excludes the details of supplier management and Service Improvement Programmes although the SLM still has a vested interest where the delivery affects the Service Levels achieved.	
Supplier Management	Extracted from SLM, although the SLM is still potentially involved in reviews where they affect the ability to deliver Services at the defined level.	There is more detail on the supplier database and a strong link to finance (for risk assessments) and, in many organisations, procurement.
Information Security Management	This was part of the CIA in availability but has been promoted to form its own process.	Introduction of compliance requirements such as SOX and ISO20000 have elevated this. Monitoring and managing security incidents are part of Operations, organisationally as they need to happen every day.

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Service Transition

Service Transition is an integration of the Change, Release and Configuration Management processes. They are designed to ensure the quality of services introduced and the ability to maintain them moving forward. Service Transition is used not just followed when introducing new Services, but is also to enhance, upgrade and retire existing services. Any activity that is required will be triggered by an RFC and be processed through change management. Some changes may be processed as part of a release and all will affect the status or construction of a CI and will therefore go through Service Asset & Configuration.

Under the V3 guidelines there is now a defined and strong link between the Service Transition processes and the SDLC and Project Management Methodologies used by an organisation. This works well for major changes and major releases that are formally managed from a PMO.

Note the new name – transition. It recognises that we shouldn't wake up one day to find a new system in place but that it needs to be a transition. Early life support is defined to start at Release and Deployment and go through to an agreed date AFTER the implementation ensuring the Operations teams can effectively support the service.

Below is a diagram showing how the Service Transition processes work together and integrate with the other ITIL processes.

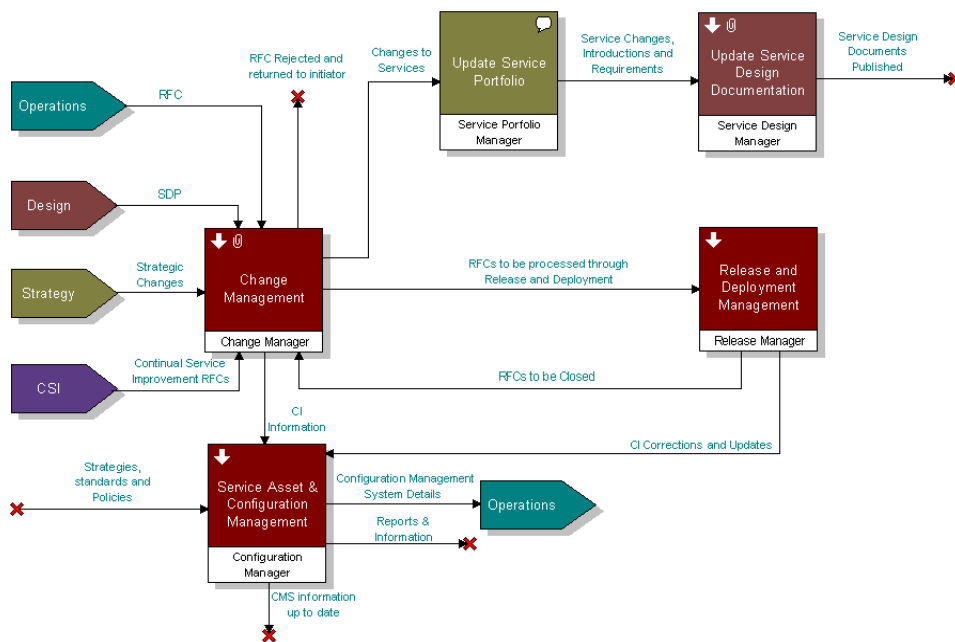


Figure 1 – Service Transition

(diagram taken from Affinity™ - IT Service Management)

Service Transition Process		
	Route to Conversion	New Documents/Systems
Change	There is a slight change to the structure of the process but the activities essentially remain the same.	Urgent changes have been updated to Emergency and we now have an ECAB. The change category still exists and is referred to throughout, although the activity of categorise change has been taken out of the process. (I have left this in due to the ongoing referral). The FSC has now been replaced by the Change Schedule and the PSO (projected service outage) is a reverse take on the PSA (projected service availability)
Service Asset and Configuration	The process has some minor changes to it but these do not deflect you from the original goals and approach. (PICSV still exists).	The CMDB is now a part of the CMIS (Configuration Management Information System) which encompasses asset management and Knowledge Management as well.
Release and Deployment	Release is the testing and preparation of the final solution, Deployment is its implementation. There is a much higher emphasis on the different testing levels required with use of the V model. I have included the creation of many of the test plans in the design phase and then referenced them here to carry out the actual activity.	Remediation planning is now included here, as well as Change, and is a more comprehensive version of the original back out plan, allowing changes to roll forward as well as roll back.

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Service Operations

Service Operations is the day-to-day, BAU of the IT department. IT includes the 4 functions: Service Desk, Technical Management, Application Management, and IT Operations Management. It also includes the processes required to support the services and their customers.

Service Operations takes much of the original Service Support and is often the first place organisations start on their ITIL implementation.

Also included here is the monitoring of services against their plans and targets defined in Service Design. These are day-to-day activities that will provide information and recommendations to all the other areas and may result in changes being made.

Below is a diagram showing how the Service Operations processes are structured.

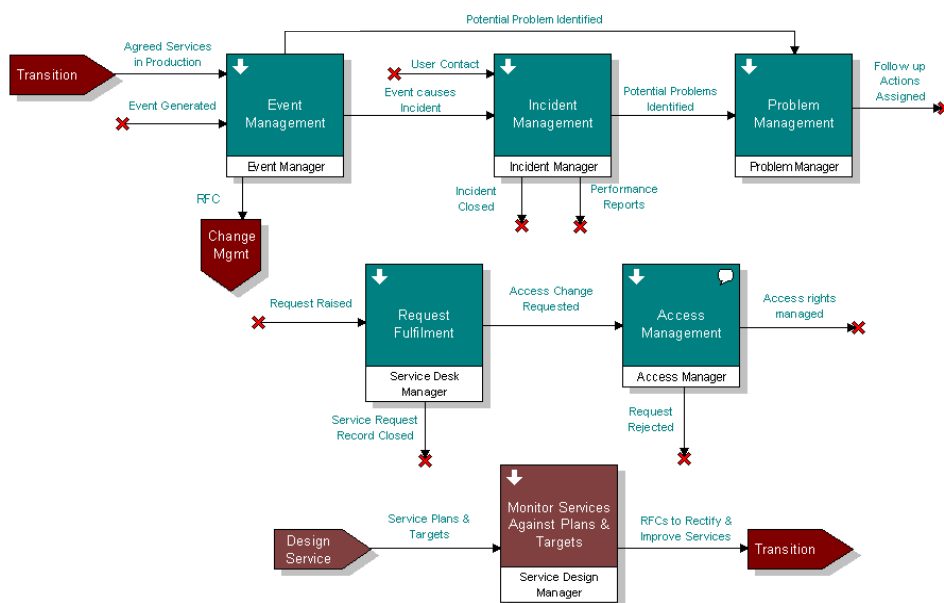


Figure 1 – Service Operation

(diagram taken from Affinity™ - IT Service Management)

Service Operation Process		
	Route to Conversion	New Documents/Systems
Event Management	New process	Event Management is described as a process in the Service Operations book. However, it is usually done automatically by enterprise monitoring and the real process is in the definition and application of the events and rules.
Incident	Although some minor changes are included and can be found in the book, the process is essentially as it was. Also see Request Fulfillment below.	There is recognition of the Service Knowledge management System providing self help for the end users and/or for the Service Desk to enhance the speed at which Incidents can be resolved.
Request Fulfillment	As either a type of incident, or type of change, service requests were implemented as part of V2 although they were described within the Incident management process. Now they have their own process which looks at how to use them.	Have you considered your process to define them? Request Models are introduced to explicitly define the tasks required to fulfill a request and allow the Service Desk to perform efficiently.
Problem	The most significant change in problem management is the loss of proactive PM which has transferred to CSI. Problem and error control have also been combined although the two terms remain and still mean the same.	Problem models are introduced to make their management more consistent and efficient.
Access	New process although activity was originally included in the service request or change management processes. Access management includes password resets.	This has been set up as a new and separate process which compliments the introduction of Information Security Management within Service Design
>Service Desk >Technical Mgmt >IT Operations Mgmt >Application Mgmt	Recognition of the other standard functions that reside in the IT department to perform production operational activities.	There are details in the books however; many organisations already cover these areas.

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Continual Service Improvement

Continual Service Improvement can be triggered by any of the other processes and is based on the 7-step improvement model. It encompasses the former processes CSIP (performed by the Service Level Managers) and Proactive Problem management using information and reporting to assess opportunities to improve the services provided.

The result may be a programme of activities or individual changes and may, or may not, affect the service as it is defined in the Portfolio, Catalogue and SLAs.

Below is an example of a CSI process.

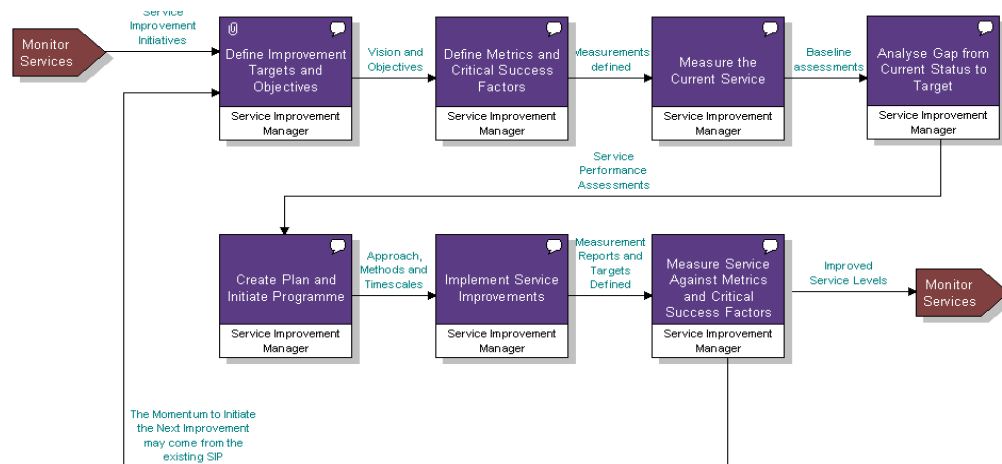


Figure 1 – Continual Service Improvement

(diagram taken from Affinity™ - IT Service Management)

CONVERTING FROM V2

So, after all that, do you want to convert? Do you need to convert? And where do you start?

If you already have some or all of the V2 processes in place then you clearly already have most of the V3 processes. Perhaps then the place to start is CSI.

- **Set out your vision**
Establish your high level objectives
- **Where are you now?**
If you are going to move to V3 you need to perform your assessment against V3 criteria. Your V2 self assessment wont give you the right information now.
- **Where do you want to be?**
Do you want to be V3 compliant, improve your services, BOTH?
- **How do we get there?**
This will be familiar by now as it is one piece of best practice that remains so. There will be quick wins (there always are), and there will be strategic decisions that may result in a new structure, a change of roles and responsibilities, new job titles and/or descriptions and new objectives.
- **Did we get there?**
Did you? Will you? The measurements you set out at the start will help you assess your achievements and next steps. Why not re-assess yourself against the V3 criteria and publish your success.
- **Keeping the momentum**
Now you have CSI in place, it's time to start again. Proceed to the first step.

STARTING FROM SCRATCH

If you do not have established ITIL-based processes you can start straight away. Still follow the CSI so that you can see what you want and where you are. It is just as possible to implement the most common base processes (Incident, Change, SLM) as a starting point in V3 as it was in V2. But structuring into the Service Design, Transition and Operations disciplines will set you up for Continual Improvement and further adoption of best practice in the future.

CONCLUSION

At first glance V3 may not seem wholly different from V2. Looking at the detail, the processes are similar and the ideals the same.

After a second look, V3 may seem overly complicated and sometimes vague in its process definition – just how is demand management a process?

There are, however, some real improvements that most organisations can introduce relatively easily and see almost immediate benefits. Here are some highlights. I leave you to decide.....

- **Service Catalogue**
A most powerful document in the relationship building between IT and its customers
A great first step to Service culture internally, providing insight into individual contributions to the overall service and, therefore business.
- **Supplier Management**
As more outsourcing takes place there is a higher emphasis on supplier management and to separate it from SLM could be strategically beneficial
- **Release and Deployment**
They are separate things.
Review the testing policies for improvements
Review roll-out/deployment – is your training covered, are the right people in the right place?
- **Early Life Support**
Don't "put things live". Allow them and their users to transition and ensure they can be properly supported.

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About the Author

Diane Stow is a Senior Consultant at Arturian and a long standing IT Service Management consultant accredited in ITIL Service Management (Red badge & V3 Foundation Bridge) with a strong customer and process focus. Drawing on over 20 years of experience in IT she has recently developed the ITIL components of Arturian's Affinity™ product range, Version 3 of which was launched at the ITSMF 2007.

Diane has provided companies and individuals with practical guidance and assistance in the implementation and exploitation of the ITIL processes and has herself performed a number of the roles.

Previously Diane has been a trainer for Fox IT and now mentors and coaches a number of on-going Arturian clients on ITIL, Process Management and the use of Nimbus Control 2007.

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About Arturian

Arturian specializes in process management solutions. We help our clients achieve a consistent and reusable way of managing, communicating and improving their business and IT processes. Fundamentally we're a consulting company but with some innovative ideas and software partnerships. Our fresh approach and a focus on results, means today we work with some of Europe's best known companies.

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