# White Paper

# IT Service Management Guiding Principles

# A Starter Set

## Overview

**Purpose**

This paper briefly describes the concept of using Guiding Principles when designing ITIL processes. It then presents a starter set of Guiding Principles that can be used by IT Service Management Implementation teams.

**Contents**

This publication contains the following topics:

# Understanding Guiding Principles

## Overview

**Introduction**

The following section provides some basic background on what guiding principles are and how to use them

**Contents**

This part contains the following topics:

# Guiding Principles Defined

**Introduction**

The following section defines guiding principles in general and lists their key attributes.

**Definition**

Guiding Principles:

- Are statements about how IT Services should operate.
- Support the IT Service Management Vision.
- Are critical statements of direction that will have major impact on how IT services should be designed and operated.
- Should be clearly understood and communicated both internally and externally to IT Services.

**Derivation**

These principles are derived from:

- Basic beliefs
- Experience
- Priorities
- Underlying culture within a business organization
- People involved with the delivery of IT Services.

# Components of a Guiding Principle

**Introduction**

As an early activity in IT Service Management implementation, consider each Guiding Principle in isolation. The underlying rationale for advancing each principle with its resulting implications and impacts should be agreed to and documented.

**Describing Guiding Principles**

Each Guiding Principle has three parts, which are described below:

- Statement
- Rationale
- Implications

**Statement**

This consists of a single sentence that states the principle.

***Example:***

We will let our customers know the key services we offer them and who is accountable.

**Rationale**

This lists reasons why the principle should be accepted by the business.

Considerations include:

- Why should the organization do this?
- What business benefits does this Guiding Principle advance?
- What characteristics can be used to defend the Guiding Principle?

***Examples:***

- Will provide clear accountability for customer service.
- Will provide service clarity for the customer.

*Continued on next page*

## Components of a Guiding Principle, Continued

**Implications**

This lists areas of impact to business and IT units as a result of operating with the principle.

Considerations include:

- What needs to be done if the Guiding Principle is implemented?
- What impact will it have on business and IT units?
- What kind of behaviours, tools, data or processes need to be in place to support it?

***Example:***

- Define each service that we offer in a Service Catalogue.
- Develop cross-organizational capabilities.
- Publicize this approach and ensure responsibilities provided.
- Require a single owner for each service.

## Examples of Well Designed Principles

**Characteristics**

Well designed Principles have the following characteristics:

- States a fundamental belief of the enterprise in one or two clearly written sentences.
- Relevant to the IT Service Management processes.
- Worded directly and simply in terms understandable by both business and IT managers.
- Widely applicable.
- Will not be outdated quickly by advancing technology.
- Has objective reasons for advancing it over the considered alternatives.
- Has impacts which need to be documented.

**Examples**

The following are examples of some well designed Principles:

- Client information will be kept strictly confidential within policies set by the organization and regulatory agencies.
- Service Management solutions, whether purchased or developed internally, will be highly structured and modular.

## Examples of Poorly Designed Principles

**Characteristics**

The characteristics of a poorly designed principle are:

- The statement is difficult to dispute.
- Is a general business or financial statement.
- Does not support business goals.
- Is stated at too low a level or names a product/technology.
- May be included with "because I say so".

**Examples**

Examples of some poorly designed Principles are:

- All new applications should be designed to be easy to use.
- The overall cost of computing must be reduced.
- All servers will use the EISA Bus to achieve high performance.
- Only Ethernet LANs will be implemented in our corporation.

# Categorizing Guiding Principles

**Introduction**

For easy reference, categorize your guiding principles. Although these categories may be whatever an organization desires, the table below presents some common examples:

| Category | Description |
|---|---|
| Overriding | Groups together Principles that apply across all ITSM processes and solutions. |
| Organizational | Covers people, organization and skills |
| Technology | Covers tools, architecture and platforms |
| Process | Covers ITSM processes such as Incident, Change, Availability Management |
| Data | Covers data, access to data and data architecture |
| Functional | Covers ITIL ICT (Infrastructure Control Functions) |

**Category Examples**

The remainder of this paper lists and describes examples of Guiding Principles within each category shown above.

# Sample Guiding Principles by Category

## Overview

**Introduction**

The purpose of these examples to give the reader a starting point for defining their own unique principles, not to dictate or recommend principles.

For purposes of clarity the examples are grouped by the sample categories listed in the previous section.

**Contents**

This chapter contains the following topics:

# Overriding Principle Examples

## Overview

**Introduction**

The following section contains several examples of Overriding Principles.

Each example contains:

- A Principle statement
- A Sample Application of the principle
- A Rationale for accepting the principle
- The Implications of the Principle

**Contents**

This section contains the following topics:

## Overriding Principle Example 1

| | |
|---|---|
| **Principle** | We will consider the benefit and impact on the customer of everything that we do. |
| **Sample Application** | Housekeeping activities are agreed to and undertaken based on schedules that minimize the impact on customer activity. |
| **Rationale** | • Helps IT Services to understand customer needs.<br>• A customer-focused services organization ensures business aligned IT services.<br>• Enables a customer-focused culture.<br>• Increases customer satisfaction. |
| **Implications** | • IT Services understands the implications of actions they take on the customer and business.<br>• IT Services understands the business calendar.<br>• Understands legislation and other influencing standards.<br>• Activities are measured in terms that are relevant to the business. |

# Overriding Principle Example 2

| | |
|---|---|
| **Principle** | Insource or outsource decisions will be based on a clearly defined set of criteria. |
| **Sample Application** | Vendor ABC is used to supply hardware maintenance services. This is not one of our core competencies and we can clearly demonstrate the advantages of outsourcing this service. |
| **Rationale** | • Ensures IT services personnel focus on activities with the greatest value to the business.<br>• Provides IT services personnel with a greater sense of responsibility for the business' success.<br>• Emphasizes value activities are in the business, not IT.<br>• Enables IT suppliers to deliver more cost effective solutions or add greater value in areas of their core competencies. |
| **Implications** | • Analysis is done to determine the business critical areas for IT services.<br>• Liaison with third parties is done to ensure non-critical services are delivered seamlessly.<br>• Determined critical and non-critical services.<br>• Established procurement process for services.<br>• Process is in place to manage Service Levels and ensure smooth fit with internal services.<br>• Improvement case guidelines for standard preparation of cost or service are in place.<br>• Decision-making criteria is defined and maintained. |

## Overriding Principle Example 3

| | |
|---|---|
| **Principle** | All IT services activities will be considered in the context of the business strategy. |
| **Sample Application** | When choosing tools and constructing our IT development plans, we take into account the likely technical consequences of business initiatives; i.e. we equip ourselves to readily accept change. |
| **Rationale** | • While we are focused on our customers' needs we need to reconcile these with the business imperatives.<br>• We are a cost to the business; we shouldn't do anything that does not directly support the business.<br>• We need to clearly demonstrate our value to the business.<br>• We must position ourselves to add maximum value where business has a clear strategy with IT consequences, such as convergence on ERP. |
| **Implications** | • Service requirements are anticipated in time to meet sudden business moves.<br>• The business and IT strategy has been clearly communicated and understood by the IT services personnel.<br>• The IT strategy is updated as required.<br>• A process to ensure continued linkage of strategies is in place.<br>• The need to arbitrate between conflicting customer and business demands has been considered. |

## Overriding Principle Example 4

| | |
|---|---|
| **Principle** | We will regularly measure and report on the services we provide. |
| **Sample Application** | By measuring and reporting the performance of the Service Desk service, in the customer's terms, we give ourselves the ability to:<br>• Manage it.<br>• Improve it.<br>• Demonstrate its value to the business<br>• Demonstrate quantifiably that agreed service levels are met. |
| **Rationale** | • If we can't measure it, we can't manage it.<br>• Demonstrate the value provided by the services we offer so the customer will understand the investment needed to improve the service.<br>• Enables timely, quality service provision. |
| **Implications** | • A process is in place to capture the pertinent data and report it a regular basis.<br>• Measures are agreed to with the customer.<br>• We understand that measuring is not enough and we have the disciplines and processes in place to act on issues raised.<br>• We understand that measurement simply provides data and we have established methods to turn the data into knowledge (e.g. trend and threshold analysis).<br>• The proactive cycle of measure, analyse, report and action is part of our management culture. |

## Overriding Principle Example 5

| | |
|---|---|
| **Principle** | IT Service Management activities will be proactive rather than reactive, whenever possible. |
| **Sample Application** | Before closing any Incident and Problem records, the question “what will prevent this from happening again?” must be answered. |
| **Rationale** | • Promotes highest possible service levels.<br>• Allows IT reaction before users are involved in many cases.<br>• Contributes toward increased customer satisfaction. |
| **Implications** | • We find tools for all processes.<br>• Requirements for a service orientation have been met.<br>• We reward people who prevent incidents more than fixing incidents.<br>• We take proactive approaches towards preventing incidents. |

# Organizational Principle Examples

## Overview

**Introduction**

The following section contains several examples of Organizational Principles.

Each example contains:

- A Principle statement
- A Sample Application of the principle
- A Rationale for accepting the principle
- The Implications of the Principle

**Contents**

This section contains the following topics:

## Organization Principle Example 1

| | |
|---|---|
| **Principle** | Our people are our primary asset - we will motivate, develop and retain them. |
| **Sample Application** | We will ensure that our people have up-to-date objectives and regular performance reviews. There will be opportunities for everyone to develop toward their personal and career aspirations. |
| **Rationale** | • Staff retention is much more cost-effective than staff recruitment.<br>• Business awareness is grown, not taught.<br>• No amount of documentation can replace experience.<br>• Motivated staff tends to be loyal staff.<br>• Personal development is key to motivation. |
| **Implications** | • Objective HR measures are in place.<br>• We understand what motivates our people.<br>• Staff development costs are understood.<br>• We increase performance management; we do not accept mediocrity. |

## Organization Principle Example 2

| | |
|---|---|
| **Principle** | Systems will be centrally managed, to add value and reduce risk through local support. |
| **Sample Application** | All IT Service Management activities will report up through a centralized IT Service management organization with headquarters at the corporate site. |
| **Rationale** | • Creates economies of scale through automation, wider resource coverage per person, etc.<br>• Provides end-to-end support.<br>• Complexities of services, platforms, and components mean central control is the most efficient and effective mode of operation. |
| **Implications** | • We understand organizational consequences of central.<br>• We identify requirements and make appropriate tool investments.<br>• We are aware of service management activities taking place outside the centralized management organization.<br>• We maintain an ability to manage and respond in accordance with business requirements. |

## Organization Example 3

| | |
|---|---|
| **Principle** | Each systems management process will have a single process owner, responsible for process quality and integrity. |
| **Sample Application** | John Doe will be the process owner for the Incident Management Process. |
| **Rationale** | • Keeps the process discrete and bounded<br>• Avoids responsibility conflict or uncertainty.<br>• Promotes responsibility and continuous improvement. |
| **Implications** | • We ensure the process owner is at the right level in the organization.<br>• We determine availability of and invest in dedicated owners.<br>• The process owner helps define the process ownership role.<br>• We have appropriate sponsorship within IT or the business.<br>• Some process owners may come from operational support groups. |

## Organization Example 4

| | |
|---|---|
| **Principle** | Manufacturing functions, process control and production line monitoring are plant management responsibilities; plant autonomy will be accommodated. |
| **Sample Application** | Data transfer malfunctions with hospital lab equipment will be the responsibility of the lab department to resolve and take care of. |
| **Rationale** | • Delineates ownership and responsibilities. |
| **Implications** | • We regularly revisit these boundaries, especially in areas where the application life cycle may affect the ownership decision.<br>• We ensure business units are fully aware of what is and what is not supported for those functions. |

# Technology Principle Examples

## Overview

**Introduction**

The following section contains several examples of Technology Principles.

Each example contains:

- A Principle statement
- A Sample Application of the principle
- A Rationale for accepting the principle
- The Implications of the Principle

**Contents**

This chapter contains the following topics:

# Technology Principle Example 1

| | |
|---|---|
| **Principle** | IT services will focus on proactive, end-to-end, automated management through an integrated Enterprise System Management Framework. |
| **Sample Application** | The deployment of tool suites as the foundation of the Enterprise System Management Framework moves us quickly toward this target. |
| **Rationale** | • Accepted research and industry experience shows that the deployment of an ESM framework delivers maximum gains as a scaleable service environment emerges.<br>• A consistent approach and interface for all aspects of services delivery allows greater flexibility in deploying support personnel and accommodating new areas of service.<br>• Ensures that tool expenditures are focused within an overall management solution that avoids redundant tool functionality.<br>• Reduces costs for management and maintenance. |
| **Implications** | • Management of internal OLA's and external SLA's is in place to provide end-to-end service management.<br>• Audit of current tool-set is done to ensure that deployment of the framework is conflict free.<br>• Transformation plans are in place to ensure smooth migration to the framework.<br>• Review of current solutions and environments is done.<br>• There are "willing to live with" solutions that may not be best of breed individually, but provide greater overall value through integration. |

## Technology Principle Example 2

| | |
|---|---|
| **Principle** | We will discover and incorporate industry best practice and tools. |
| **Sample Application** | When choosing tools we will look beyond the direct experience of personnel by employing research and taking advantage of reference visits before reaching decisions. |
| **Rationale** | • Our business organization is not a developer of IT service tools and methods.<br>• Technical capability of products is developing very quickly.<br>• Why re-invent the wheel?<br>• Borrow and adapt best practice to meet our needs.<br>• When we work smart the business benefits. |
| **Implications** | • Our culture is ready to embrace change.<br>• Sound external advice is seen as an investment.<br>• We recognize that research and innovation are part of our job. |

## Technology Principle Example 3

| | |
|---|---|
| **Principle** | Service Management product selection will be based upon the systems management tool strategy, standards and the technical architecture. |
| **Sample Application** | Monitoring tools used to monitor for application ABC events must be able to pass event information easily to corporate Incident Management databases and automatically generate e-mail notifications on the corporate e-Mail systems. |
| **Rationale** | • Provides a coherent and consistent Service Management product set<br>• Simplifies product selection<br>• Avoids being tied into a single product set or supplier<br>• Makes sure products work together<br>• Reduces product redundancy |
| **Implications** | • We understand how the environment will operate at various stages of the implementation of the systems management strategy.<br>• We sometime adopt tactical or counter-strategic product solutions. |

## Technology Principle Example 4

| | |
|---|---|
| **Principle** | Standard systems management products will be used wherever possible, with minimal modifications and in-house code. |
| **Sample Application** | All proposed custom code solutions for IT Service Management must present a formal business case. This will be reviewed by a special CAB committee to determine whether the solution is warranted. |
| **Rationale** | • Reduces maintenance costs.<br>• Allows staff to concentrate on implementing new functions.<br>• Allows easier migration to updated tools.<br>• Coping with new technology impacts will not be responsibility of IT.<br>• Custom solutions usually involve higher costs in the long term. |
| **Implications** | • We concentrate effort to analyze any demands for modifications to ensure they are required.<br>• We sometimes sacrifice specific tailored function for long-term gain.<br>• We look to use standard products when available. |

## Technology Principle Example 5

| | |
|---|---|
| **Principle** | The user workstation environment will be standardized as much as possible. |
| **Sample Application** | All end-user workstations will be Compaq S200 running Windows XP SP2. |
| **Rationale** | • Simplifies management and promotes high service levels.<br>• Reduces overall support costs.<br>• Promotes effective change management. |
| **Implications** | • We are able to migrate to the desired installed environment.<br>• We are able to control user changes to the environment.<br>• Effective asset and configuration management is in place. |

# Service Desk Function Principle Examples

## Overview

**Introduction**

The following section contains several examples of Service Desk Function Principles.

Each example contains:

- A **Principle** statement
- A **Sample Application** of the principle
- A **Rationale** for accepting the principle
- The **Implications** of the Principle

**Contents**

This chapter contains the following topics:

## Service Desk Function Principle Example 1

| | |
|---|---|
| **Principle** | End-user support will be provided by a single toll-free number. |
| **Sample Application** | All company ABC employees are to call 1-800-HELP-NOW to access the company Service Desk. |
| **Rationale** | • Ease of access to services.<br>• Promotes use of the service interface.<br>• Reduces the number of interfaces.<br>• Promotes user satisfaction.<br>• Provides single-point-of-contact for all IT services. |
| **Implications** | • Service Desk support is effective.<br>• There is investment in tools to provide support.<br>• User satisfaction is continually measured.<br>• Telecom costs have been considered.<br>• Overseas calls are accommodated. |

# Process Principle Examples

## Overview

**Introduction**

The following section contains several examples of Process Principles. These examples are grouped by ITIL process area.

**Contents**

This chapter contains the following topics:

# Incident Management Process Principle Examples

## Overview

**Introduction**

The following section contains several examples of Incident Management Process Principles.

Each example contains:

- A **Principle** statement
- A **Sample Application** of the principle
- A **Rationale** for accepting the principle
- The **Implications** of the Principle

**Contents**

This section contains the following topics:

## Incident Management Process Principle Example 1

| | |
|---|---|
| **Principle** | Incident processing and handling must be aligned with overall service levels and objectives. |
| **Sample Application** | All application ABC database events must be escalated to third level support if they have not been resolved within 5 minutes. |
| **Rationale** | • Ensures incident handling supports service levels and objectives.<br>• Identifies which incidents require high priority handling based on actual business need. |
| **Implications** | • We understand service levels and objectives that need to be provided for.<br>• We build event handling that is targeted towards service levels.<br>• We develop Service Desk and Incident Management Operational Level Agreements to set thresholds for when Incident escalation and notification actions should be taken.<br>• We implement reporting on service actions and thresholds within Incident Management functions.<br>• We time stamp key Incident Management activities. |

## Incident Management Process Principle Example 2

| | |
|---|---|
| **Principle** | All incidents should be stored and managed in a single data repository. |
| **Sample Application** | A central repository database exists that is the definitive source for all incident information. |
| **Rationale** | Rationales are:<br>• Provides definitive recognized source for incident information<br>• Provides easier access for reporting and problem investigation efforts |
| **Implication** | Implications are:<br>• We have implemented an Incident Management Database (IMDB) capability for incident information<br>• We have implemented integration between this repository and other service management tools that use or provide incident related information |

## Incident Management Process Principle Example 3

| | |
|---|---|
| **Principle** | All incidents will subscribe to a standard classification schema that is consistent across all of IT. |
| **Application Example** | All IT incidents are logged to a common set of classification categories. |
| **Rationale** | Rationales are:<br>• Provides easy access to incident work-arounds and troubleshooting information<br>• Critical for supporting Problem Management activities |
| **Implication** | Implications are:<br>• We have a well defined and communicated set of incident classification categories<br>• It is impossible for anyone to enter non-standard categories for incidents<br>• Service Desk and incident handling staff are aware of what categories exist |

## Incident Management Process Principle Example 4

| | |
|---|---|
| **Principle** | Incident records will be audited on a regular basis to ensure they have been entered and categorized correctly. |
| **Application Example** | At the end of each day, closed incidents are audited to verify that they have been entered and categorized correctly. |
| **Rationale** | Rationales are:<br>• Ensures incident information is accurate and useable by Problem management and other support areas<br>• Supports trending analysis and related activities around incidents and problems |
| **Implication** | Implications are:<br>• We have an independent auditor role in our organization to audit incident records for accuracy<br>• Feedback mechanisms are in place to communicate audit findings and issues to incident handling staff |

## Incident Management Process Principle Example 5

| | |
|---|---|
| **Principle** | IT will own and manage all definitive sources of knowledge used to diagnose and troubleshoot incidents related to IT services. |
| **Application Example** | Each service unit within IT has the responsibility to provide knowledge for diagnosing and handling incidents to Incident management staff. This responsibility includes maintaining that knowledge on a regular consistent basis to make sure it is timely and accurate. |
| **Rationale** | Rationales are:<br>• Ensures up-to-date and accurate information is available to incident handling staff<br>• Supports efforts to get incidents handled faster and at first call more frequently |
| **Implication** | Implications are:<br>• We have roles and responsibilities assigned for each service component to input and maintain knowledge for incident handling staff<br>• We have tools in place to capture and communicate knowledge and knowledge changes to incident handling staff<br>• We handle knowledge changes through the Change Management process<br>• We integrate with the Problem Management process to get information on problems and work-arounds. |

# Problem Management Process Principle Examples

## Overview

**Introduction**

The following section contains several examples of Problem Management Process Principles.

Each example contains:

- A **Principle** statement
- A **Sample Application** of the principle
- A **Rationale** for accepting the principle
- The **Implications** of the Principle

**Contents**

This section contains the following topics:

## Problem Management Process Principle Example 1

| | |
|---|---|
| **Principle** | Every high severity problem will require a documented root cause and control. |
| **Sample Application** | All incidents marked as SEV1s will be assigned to a Problem Owner who has the responsibility to identify and document the Root Cause. |
| **Rationale** | Rationales are:<br>• Ensures Problem Management focus on all high severity incidents.<br>• Proactively works to reduce or eliminate future high severity incidents.<br>• Provides upper management communication and assurances that high severity incidents are being appropriately addressed. |
| **Implication** | Implications are:<br>• Problem Owners are assigned to every SEV1 generated<br>• Solid skills are in place to identify Root Cause<br>• Management communications are in place to communicate timely and useful Incident information |

## Problem Management Process Principle Example 2

| | |
|---|---|
| **Principle** | Problems will be tracked separately from Incidents. |
| **Sample Application** | A separate database exists that contains Problem Records to record Problem Tickets and status. Known Errors, Problem Workaround information and status on Problem and Error Control activities is also kept in this database. |
| **Rationale** | Rationales are:<br>• Provides clear separation between proactive Problem Management activities and reactive Incident activities<br>• Easier ability to track Problem management activities and progress separately |
| **Implication** | Implications are:<br>• Tools are in place to track Problems separately from Incidents<br>• Problem categories and reporting are in place |

## Problem Management Process Principle Example 3

| | |
|---|---|
| **Principle** | Every problem will have an assigned owner. |
| **Sample Application** | After identifying a problem that appears to be causing multiple incidents, the Problem manager has assigned an owner dedicated to finding its Root Cause and coordinating activities to remove the error. |
| **Rationale** | Rationales are:<br>• Ensures responsibility assigned to fix problems<br>• Provides single point of contact for communications about problems |
| **Implication** | Implications are:<br>• The Problem Owner role is understood and communicated throughout the organization<br>• Problem Owners have appropriate authorization to coordinate and take actions to identify Root Cause and remove the error |

# Problem Management Process Principle Example 4

**Principle**

An INCIDENT will become a PROBLEM when any of the following as occurred:

- Incident management cannot match an incident to existing Problems and Known Errors
- Trend analysis of logged incidents reveals an underlying problem
- The INCIDENT is a SEV1
- Other IT areas identify that a problem condition exists

**Sample Application**

A SEV1 INCIDENT will also be immediately recognized as a PROBLEM.

**Rationale**

Rationales are:

- Provides clear distinction between Incidents and Problems within EC
- Focuses Problem management resources on higher priority areas

**Implication**

Implications are:

- Clear communication on what is a PROBLEM versus an INCIDENT needs to be understood and communicated
- Current practice of conducting root cause activities for ALL EC incidents may change
- May need to provide dummy Problem records that can be used by Incident Management for low impact, non-recurring incidents.
- Need to clarify Incident management role in providing and documenting root cause for incidents

# Change Management Process Principle Examples

## Overview

**Introduction**

The following section contains several examples of Change Management Process Principles.

Each example contains:

- A **Principle** statement
- A **Sample Application** of the principle
- A **Rationale** for accepting the principle
- The **Implications** of the Principle

**Contents**

This section contains the following topics:

## Change Management Process Principle Example 1

| | |
|---|---|
| **Principle** | No changes will be made to production systems without the approval of the IT and user representatives responsible for the service. |
| **Sample Application** | All network changes must be documented in an RFC (Request For Change) and submitted to the change manager before implementation. A Change Advisory Board (CAB) will review and approve all RFC's submitted. Changes may not be made without CAB approval. |
| **Rationale** | • Promotes an emphasis on service availability.<br>• Ensures changes are only made with user involvement.<br>• Ensures changes are authorized. |
| **Implications** | • We define user representatives and service owners.<br>• We agree on change criteria.<br>• We utilize an efficient process for approvals.<br>• We have strong management support for the change process. |

## Change Management Process Principle Example 2

| | |
|---|---|
| **Principle** | IT will not make changes to production services that will impact the services of other groups without their approval. |
| **Sample Application** | IT seeks out other business units to first communicate a change that will impact their services and then seek approval from those units to implement the change. |
| **Rationale** | Rationales are:<br>• Ensures that IT will make changes that do not unexpectedly impact the services of other business units<br>• Ensures that all parties impacted by a change are notified and part of the approval process |
| **Implication** | Implications are:<br>• We have strong mechanisms in place to communicate changes to non-IT business units<br>• We have a CMDB in place that can assist us in identifying which business units must be involved in the change approval process |

## Change Management Process Principle Example 3

| | |
|---|---|
| **Principle** | Non-IT business units will not implement changes that impact IT services without proper IT notification and approval. |
| **Sample Application** | The SAN group appropriately communicates planned changes to Change Management and seeks their input and approval prior to scheduling and implementing a change. |
| **Rationale** | Rationales are:<br>• Ensures that non-IT business units will not make changes that negatively impact IT services<br>• Ensures that all parties impacted by a change are notified and part of the approval process |
| **Implication** | Implications are:<br>• We have strong mechanisms and an agreement in place to ensure changes from non-IT business units are communicated to IT<br>• We have a CMDB in place that can assist us in identifying which IT services and components might be impacted by a proposed change coming from outside the IT business unit. |

## Change Management Process Principle Example 4

| | |
|---|---|
| **Principle** | A change will not be made without thorough analysis by all stakeholders impacted by it. |
| **Sample Application** | The Change Manager identifies and contacts all parties affected by a mail server being decommissioned. |
| **Rationale** | Rationales are:<br>• Ensures a cross functional analysis of changes is performed that includes everyone impacted by the change<br>• Allows for a broad consensus for approving the change and holistically recognizing all the consequences of the change |
| **Implication** | Implications are:<br>• We have a CMDB in place that can assist us in identifying what services and business units will be impacted by a proposed change.<br>• We have strong mechanisms in place for communicating changes to all parties that could be affected by them within the business enterprise. |

## Change Management Process Principle Example 5

| | |
|---|---|
| **Principle** | The need and business impact for changes will be clearly documented and communicated so that all stakeholders can understand them. |
| **Sample Application** | An upcoming change that involves a server being decommissioned is communicated to affected business units in terms that are easily understood. |
| **Rationale** | Rationales are:<br>• Ensures those impacted by a change truly understand what is being changed and the business consequence<br>• Allows for changes to be analyzed by different audiences who can then provide the best possible feedback on their impact and acceptance<br>• Eliminates miscommunications about changes |
| **Implication** | Implications are:<br>• We have the ability to describe changes taking place in business terms versus heavy technical jargon<br>• We have a CMDB in place that can assist us in identifying what services and business units will be impacted by a proposed change.<br>• We have strong mechanisms in place for communicating changes to all parties that could be affected by them within the business organization. |

## Change Management Process Principle Example 6

| | |
|---|---|
| **Principle** | The Change Policy will include an escalation process for handling decision and approval conflicts that cannot be resolved at the CAB level. At a minimum this will allow for:<br>• IT senior management review and approval first<br>• Documentation of a Change Risk Memo<br>• Escalation to Senior Management who will ultimately own the approval decision |
| **Sample Application** | A non-IT business unit desires to implement a change that has been rejected by the CAB and IT senior management. IT documents a risk memo and escalates the decision up to Senior Management to make a final decision. |
| **Rationale** | Rationales are:<br>• Provides a path for handling changes that cannot be agreed upon at the CAB level<br>• Clearly defines roles and responsibilities for agreeing changes |
| **Implication** | Implications are:<br>• Senior Management understands that they have the responsibility to resolve change conflicts that are cross organizational<br>• Policies are documented and in place for handling and escalating change issues above the CAB level.<br>• There is a willingness for everyone to abide by resolutions made by Senior Management. |

## Change Management Process Principle Example 7

| | |
|---|---|
| **Principle** | CAB meeting agendas will always include a review of Forward Schedule of Changes to minimize last minute surprises and schedule changes. |
| **Sample Application** | The CAB meetings include a Forward Schedule of Change on their agenda. This consists of asking CAB members to highlight any upcoming concerns they might forsee based upon what is on that schedule. |
| **Rationale** | Rationales are:<br>• Minimizes last minute surprises and schedule changes<br>• Reminds members what changes are forthcoming to get input and review on these as early as possible |
| **Implication** | Implications are:<br>• We have a Forward Schedule of Change (FSC) in place and publish it as part of the CAB meetings<br>• We allow time at CAB meetings to include the FSC discussions |

## Change Management Process Principle Example 8

| | |
|---|---|
| **Principle** | IT will establish multiple levels of change to optimize the management of changes throughout the change cycle. |
| **Example** | IT has provided change priorities and classifications such as EMERGENCY, HIGH IMPACT, LOW IMPACT, STANDARD and associated priority levels. CAB meetings address the most urgent changes first. |
| **Rationale** | Rationales are:<br>• Ensures change efforts focus on those changes requiring the most attention first<br>• Minimizes discussions and review time for changes that have low impact<br>• Helps focus attention on those changes that need it most |
| **Implication** | Implications are:<br>• We have put change classification and priority mechanisms into place<br>• We create CAB agendas that address urgent and high impact changes first<br>• We have criteria in place that dictates how changes should be classified |

## Change Management Process Principle Example 9

| | |
|---|---|
| **Principle** | Change Management owns responsibility for coordinating changes while Release management owns responsibility for implementing changes under the guidance of Change Management. |
| **Sample Application** | Change Management coordinates approval of a change that has been planned, designed, built and tested by Release Management. This change will go into production based on decisions by the Change Management CAB. |
| **Rationale** | Rationales are:<br>• Provides clear responsibilities between Change Management and Release Management processes<br>• Provides quality assurance for releases before and after they go into production<br>• Ensures poor releases are not inadvertently put into place based solely on the need to meet implementation schedules |
| **Implication** | Implications are:<br>• We have a Release Management process in place<br>• We accept that all changes are releases of one form or another<br>• We accept that other parties than the Release Team or Release manager will have the authority to approve a Release for production |

# Release Management Process Principle Examples

## Overview

**Introduction**

The following section contains examples of process principles for the Release Management Process.

Each example contains:

- A **Principle** statement
- A **Sample Application** of the principle
- A **Rationale** for accepting the principle
- The **Implications** of the Principle

**Contents**

This section contains the following topics:

## Release Management Process Principle Example 1

| | |
|---|---|
| **Principle** | Operations sign-off on the acceptance criteria for new applications at the business study, design and pre-implementation stages with service delivery veto. |
| **Sample Application** | The ABC application development team must submit a release package to Change Management to review planned release changes and deployment steps no less than 4 weeks before production deployment. |
| **Rationale** | • Ensures that the system will meet business unit quality expectations.<br>• Ensures application integrity.<br>• Reduces production operational issues at the outset of production. |
| **Implications** | • We understand the potential for delayed implementation.<br>• Resource skill levels needed to review solutions are understood. |

## Release Management Process Principle Example 2

| | |
|---|---|
| **Principle** | Release Management will have an active role in all changes to the production environment. |
| **Sample Application** | The Release Manager sits on the CAB to assist in analyzing and approving changes. |
| **Rationale** | Rationales are:<br>• Release Management provides critical input on changes and impacts of changes underway<br>• Larger releases will require a closer working relationship with Change Management<br>• Every change is a release in some form or other |
| **Implication** | Implications are:<br>• Our Release manager sits on all CAB meetings<br>• Release activities occur under the guidance and control of Change Management |

## Release Management Process Principle Example 3

| | |
|---|---|
| **Principle** | Wherever possible, unit changes will be grouped into packages to minimize the volume of changes into the environment. |
| **Sample Application** | Several RFCs for patch changes have been grouped under a Release Package so that they will be applied as a single unit. |
| **Rationale** | Rationales are:<br>• Minimizes impacts on production for releases and changes<br>• Provides control for situations where many changes are occurring |
| **Implication** | Implications are:<br>• We are willing to hold up some changes so that they may be grouped with others<br>• We accept that errors with one change within a release unit will result in all changes being backed out at the same time |

## Release Management Process Principle Example 4

| | |
|---|---|
| **Principle** | All releases will be tested prior to production implementation and post production implementation. |
| **Sample Application** | The Release manager ensures that adequate testing has been performed prior to submitting a release package to Change Management for approval to go to production. After the release has been implemented, the testing is repeated to ensure the release was implemented successfully. |
| **Rationale** | Rationales are:<br>• Ensures quality of releases going into production<br>• Ensures releases operate properly after they have been implemented |
| **Implication** | Implications are:<br>• We always test releases as part of our release build cycle<br>• We always repeat release tests after production implementation to make sure releases are operating properly<br>• We have a disciplined release testing approach and policies that cover test data, test environments, test acceptance and expected results |

## Release Management Process Principle Example 5

| | |
|---|---|
| **Principle** | Releases will include a backout strategy wherever appropriate. |
| **Sample Application** | Development of a backout strategy has been included as part of the release implementation plans for an upcoming server upgrade to ensure the server can be restored back to normal operating state in the event new errors are discovered when the release is implemented. |
| **Rationale** | Rationales are:<br>• Makes sure services are not compromised by new releases<br>• Allows recovery actions to quickly take place in a controlled and planned manner |
| **Implication** | Implications are:<br>• We have included development of a backout strategy as part of the release development lifecycle<br>• We test backout strategies to ensure they will work if needed |

# Configuration Management Process Principle Examples

## Overview

**Introduction**

The following section contains examples of process principles for Configuration Management.

Each example contains:

- A **Principle** statement
- A **Sample Application** of the principle
- A **Rationale** for accepting the principle
- The **Implications** of the Principle

**Contents**

This section contains the following topics:

## Configuration Management Process Principle Example 1

| | |
|---|---|
| **Principle** | The configuration database will contain administrative data, and no operational data, which will be will be separate from the administrative databases. |
| **Sample Application** | Incident Management data will be stored in a separate database and not part of the Configuration management database itself. |
| **Rationale** | • Efficient Configuration Management Database (CMDB), most notably performance.<br>• Protects operational data. |
| **Implications** | • We understand that underlying databases will always employ different technologies. |

## Configuration Management Process Principle Example 2

**Principle**

The Configuration Management Database (CMDB) will leverage existing sources of configuration item data wherever possible.

---

**Sample Application**

The CMDB will not replicate asset information, but will leverage existing CI information that is currently stored in asset databases wherever possible.

---

**Rationale**

Rationales are:

- Allows owners of other repositories to continue to manage them with minimal changes.
- Avoids building complex and overly large CMDB architecture.
- Allows the CMDB to be kept in sync with those other repositories.

---

**Implication**

Implications are:

- We determine how interfaces to repositories will be implemented.
- We extend Configuration Management practices to groups that own the repositories.
- We make sure repositories are adequately managed and kept current.

---

## Configuration Management Process Principle Example 3

| | |
|---|---|
| **Principle** | The CMDB will contain all infrastructure information. |
| **Sample Application** | Design documentation for application ABC has been stored in a physical document library and there is a pointer showing where to access it within the CMDB. |
| **Rationale** | • Centralizes all needed infrastructure where it can be easily found.<br>• Provides recognition for authorized sources of infrastructure information.<br>• Easily managed and controlled. |
| **Implications** | • Locate and find all authorized sources of infrastructure information.<br>• Have mechanisms within the CMDB to link to physical items such as documentation manuals.<br>• Have a CMDB database schema that accommodates a wide range of items such as organizational policies and design documents. |

## Configuration Management Process Principle Example 4

| | |
|---|---|
| **Principle** | The Configuration Management Database (CMDB) will provide information on relationships between CIs in a user friendly manner. |
| **Sample Application** | The Change Manager is able to quickly find all CIs impacted by a proposed change to one CI in the CMDB. |
| **Rationale** | Rationales are:<br>• Allows for efficient use of CMDB without lots of searches<br>• Clearly identifies which CIs might be impacted by other CIs<br>• Allows Impact Assessment activities to take place in an efficient manner<br>• Allows Change Management to quickly identify who needs to be aware of a proposed change |
| **Implication** | Implications are:<br>• We have a well understood CMDB Schema structure<br>• We have a user friendly CMDB<br>• CMDB toolsets allow for efficient searching of CIs<br>• CI relationships are understood and embedded in the CMDB |

## Configuration Management Process Principle Example 5

| | |
|---|---|
| **Principle** | Access to the Configuration Management Database (CMDB) will be limited to those authorized. |
| **Sample Application** | The Configuration Manager and related staff are the only ones who may update the CMDB. All other authorized staff only have read access to the CMDB. |
| **Rationale** | Rationales are:<br>• Protects CMDB data from unwarranted changes<br>• Protects integrity of CMDB CI information |
| **Implication** | Implications are:<br>• We have implemented CMDB security protection and measures<br>• We have identified which staff may read and update the CMDB<br>• We conduct periodic and regular audits of the CMDB to validate the accuracy of the CI information |

## Configuration Management Process Principle Example 6

| | |
|---|---|
| **Principle** | Proactive measures will be taken wherever possible to keep the CMDB current. |
| **Sample Application** | The Release Manager always communicates CIs that changed as the result of release activity to Configuration Management. |
| **Rationale** | Rationales are:<br>• A CMDB that is not kept current is not useable by others<br>• Avoids possible occurrence of incidents related to poor/invalid CI information for changes and releases |
| **Implication** | Implications are:<br>• We have implemented ownership for the CMDB<br>• We have tight integration between Configuration Management and all other IT Service management processes such as Incident, Problem, Change, Release, Service Level and Service Monitoring processes |

## Configuration Management Process Principle Example 7

| | |
|---|---|
| **Principle** | The CMDB will contain relevant infrastructure information to support Incident, Problem, Change, Release, Service Level and Service Monitoring processes. |
| **Sample Application** | The Change Manager always accesses the CMDB to get information for change impact assessments. The Release Manager always references the CMDB to get information on the CIs that will be changing for a new upgrade. |
| **Rationale** | Rationales are:<br>• The CMDB provides the information backbone by which all other service management processes operate<br>• If the CMDB does not adequately support the other service management processes, than its value is greatly diminished<br>• While other processes could adopt their own CI information, lack of a centralized CMDB and process would result in duplication of effort and place additional administrative burdens on those other processes |
| **Implication** | Implications are:<br>• We are careful as to how much CI detail is included in the CMDB<br>• We only include CI information that is helpful for the other service management processes to use<br>• We continuously look to other service management processes to get feedback on additions and changes to our CMDB infrastructure and level of CI information. |

# Service Level Management Process Principle Examples

## Overview

**Introduction**

The following section contains examples of service level management process principle examples.

Each example contains:

- A **Principle** statement
- A **Sample Application** of the principle
- A **Rationale** for accepting the principle
- The **Implications** of the Principle

**Contents**

This section contains the following topics:

## Service Level Management Process Principle Example 1

| | |
|---|---|
| **Principle** | We will let our customers know the key services we offer them and who is accountable. |
| **Sample Application** | For any service in our Service Catalogue, a customer can determine:<br>• How to access the service.<br>• The level of service offered.<br>• Agreed to quality indicators that are used to monitor service levels.<br>• Staff responsible for delivering service levels. |
| **Rationale** | • Clear accountability for customer service.<br>• Clarity for the customer. |
| **Implications** | • A service catalog that defines each service is in place.<br>• Cross-organizational capabilities are in place.<br>• Approaches and responsibilities are publicized.<br>• Each service has a single owner.<br>• Roles and responsibilities are strongly communicated.<br>• A process is in place to maintain information on the accountability structure and ensure this information is current for customers.<br>• An account management role has been established and clearly communicated.<br>• Conflicts between owners and account managers are managed. |

## Service Level Management Process Principle Example 2

| | |
|---|---|
| **Principle** | The Service Management services to be provided will be defined in the form of specific service package offerings. |
| **Sample Application** | Each service package describes 3 service levels (minimum, normal, extended) and there will be 2 types of service packages (basic services and special services). |
| **Rationale** | • Assures affordability of services offered/received.<br>• Limits the number of special services by ensuring the broad application of basic services.<br>• Reduces the number of managed SLA's and SLA contracts. |
| **Implications** | • We have tools that allocate costs appropriately.<br>• We ensure only valuable services are funded.<br>• We consider which SLA structures and organizations to use. |

## Service Level Management Process Principle Example 3

| | |
|---|---|
| **Principle** | We will measure and deliver services based on Key Performance Indicators (KPIs) agreed to with the business. |
| **Sample Application** | The IT services offered to the Retail Distribution business unit should use business terms to report benefits or impacts based on business measures such as, volume of store deliveries or number of successful picks. |
| **Rationale** | • Enables the business to understand the value of IT services.<br>• IT services can better communicate the business impact and benefits from services offered. |
| **Implications** | • IT services understands the business use of the services.<br>• Service Level Agreements are in place to ensure both parties have equal expectations of the service to be delivered.<br>• A mechanism for measurement and regular reporting on these services is in place.<br>• KPI definitions that utilize business terms are in place.<br>• Communication of KPI's and business value is done.<br>• A process to track KPI's and adjust the service accordingly is in place. |

## Service Level Management Process Principle Example 4

| | |
|---|---|
| **Principle** | We will take action to continuously improve service quality. |
| **Sample Application** | Our management processes encourage personnel to perform root cause analysis when statistics show an increasing trend in any particular problem category. |
| **Rationale** | • Continuous improvement is an added value.<br>• Simply measuring and reporting does not ensure continuous improvement in our services.<br>• Objective measurement facilitates cost-benefit analysis of changes. |
| **Implications** | • We have objective measurements.<br>• We educate everyone involved in the improvement cycle.<br>• Our management processes are focused on change.<br>• We understand that improvement activities must be seen as an investment, they in cost time and resources, which are recovered later in terms of quality of service delivery.<br>• We communicate to all the benefits of continuous improvement.<br>• Our culture recognizes that continuous improvement of service quality is a key part of management's role. |

## Service Level Management Process Principle Example 5

| | |
|---|---|
| **Principle** | Systems will be managed to the (workstation, server) component level. |
| **Sample Application** | The IT service catalogue will include management services that cover business needs for workstation level services. |
| **Rationale** | • Allows IT to clearly identify scope of resources and services to be managed.<br>• Provides total service orientation. |
| **Implications** | • Tools are available for all processes.<br>• We have control over user changes to local components.<br>• We understand the costs of supporting the capability for scope outlined. |

# Availability Management Process Principle Examples

## Overview

**Introduction**

The following section contains examples of availability management process principle examples.

Each example contains:

- A **Principle** statement
- A **Sample Application** of the principle
- A **Rationale** for accepting the principle
- The **Implications** of the Principle

**Contents**

This section contains the following topics:

## Availability Management Process Principle Example 1

| | |
|---|---|
| **Principle** | We will be the custodians of all company data, ensuring it is correctly stored, readily available, secure and recoverable. |
| **Sample Application** | All data stored on company servers will be managed by IT services, so that it is available and recoverable for customers. Local data on personal drives will not be managed. |
| **Rationale** | • Customers feel secure that their business data is secure and stored in backups, ready for recovery.<br>• Data is a critical asset with high monetary and business value. |
| **Implications** | • We have clear definitions of company and personal data.<br>• Supported platforms are published with guidelines for where data is stored.<br>• We are clear on integrity.<br>• We have implemented security guidelines.<br>• Data management guidelines have been put into place. |

## Availability Management Process Principle Example 2

| | |
|---|---|
| **Principle** | We only will manage and support IT assets procured through IT. |
| **Sample Application** | IT services will support and manage equipment, such as PDA's procured through the correct channel within IT. |
| **Rationale** | • Ensures clear support responsibilities for non-standard or personal IT equipment.<br>• IT services delivers better service by focusing on standard equipment where IT knows about the equipment operating environment and characteristics. |
| **Implications** | • Clear and unambiguous guidelines have been provided regarding the procurement of IT assets.<br>• Review of existing and legacy systems and solutions is in place.<br>• IT Enterprise architecture forms the basis for procurement decisions and standards.<br>• Correct procurement channels have been defined and put into place. |

## Availability Management Process Principle Example 3

| | |
|---|---|
| **Principle** | We will provide consistent, robust, secure and cost effective IT assets and services through a centralized services function. |
| **Sample Application** | All server equipment, while located at various places within the organisation, will be centrally managed, utilising remote management tools and capabilities. |
| **Rationale** | • Manages distributed resources cost-effectively.<br>• Enables resources to be assembled in the most effective location. |
| **Implications** | • Tool capabilities have been confirmed and deployed.<br>• Effective communication channels to remote systems are in place.<br>• Application and infrastructure platforms are capable of remote, unattended management.<br>• A mechanism to define the most effective location of IT assets and services is in place.<br>• A review of existing and legacy systems has been done and a transition plan has been developed.<br>• We have qualified ownership of development, test and production environments. |

## Availability Management Process Principle Example 4

| | |
|---|---|
| **Principle** | No sensitive data will reside on client workstations. |
| **Sample Application** | Customer information for application ABC will reside on corporate server databases and will be read-only at the workstation level. |
| **Rationale** | • Minimizes exposures of data being compromised or lost.<br>• Reduces security, backup and recovery complexity and costs. |
| **Implications** | • We perform regular workstation audits.<br>• We have simplified backup procedures and given proper data staging rules.<br>• We have identified where to stage and locate sensitive data. |

# Capacity Planning Process Principle Examples

## Overview

**Introduction**

The following section contains examples of capacity planning process principle examples

Each example includes:

- A **Principle** statement
- A **Sample Application** of the principle
- A **Rationale** for accepting the principle
- The **Implications** of the Principle

**Contents**

This section contains the following topics:

## Capacity Planning Process Principle Example 1

| | |
|---|---|
| **Principle** | Business units will provide consolidated business capacity planning information. |
| **Sample Application** | The Order Entry Business Unit will provide the following business capacity planning information to the capacity manager on a monthly basis:<br>• Number of customers<br>• Average number of units sold per customer per month<br>• Number of company retail locations |
| **Rationale** | • Promotes business unit buy-in and responsibility for influencing the capacity requirements for their services.<br>• Promotes a business-oriented approach to defining capacity planning information.<br>• Improves the reliability of the planning data.<br>• All capacity usage is driven by business events. |
| **Implications** | • Business units have committed to the process.<br>• We have a method of translating business data into IT terms. |

# IT Service Continuity Process Principle Examples

## Overview

**Introduction**

The following section contains examples of IT service continuity process principles.

Each example includes:

- A **Principle** statement
- A **Sample Application** of the principle
- A **Rationale** for accepting the principle
- The **Implications** of the Principle

**Contents**

This section contains the following topics:

# IT Service Continuity Process Principle Example 1

| | |
|---|---|
| **Principle** | We will be the guardians of IT systems and services, ensuring they are available in-line with business needs. |
| **Sample Application** | IT Service Continuity plans are built on the basis of business needs for system availability and with a clear understanding of the business value of system uptime. |
| **Rationale** | • IT Supported systems are key business enablers.<br>• System availability is the way that IT adds value to the business.<br>• Without IT systems the business data is inaccessible.<br>• There is a direct cost to business for unplanned downtime. |
| **Implications** | • The business is enshrined in our SLA's.<br>• We are prepared to enable rather than inhibit business change.<br>• We have aligned our planning with the business calendar.<br>• We understand that business continuity planning is about more than IT systems.<br>• We fully understand the business requirements.<br>• Our organization is focused on availability. |

## IT Service Continuity Process Principle Example 2

| | |
|---|---|
| **Principle** | There will be an annual test of IT Service Continuity recovery processes. |
| **Sample Application** | A complete recovery test for application ABC services will be scheduled annually for the last week in October. |
| **Rationale** | • Ensures that critical data and systems can be quickly recovered in the event of a major outage.<br>• Ensures that services recovered match those currently in production.<br>• Ensures that capacities for recovery are truly effective. |
| **Implications** | • Management is committed to the yearly test.<br>• We understand testing expenses.<br>• We perform ongoing analysis of what is critical to the business. |

# Financial Management Process Principle Examples

## Overview

**Introduction**

The following section contains examples of financial management process principles

Each example includes:

- A **Principle** statement
- A **Sample Application** of the principle
- A **Rationale** for accepting the principle
- The **Implications** of the Principle

**Contents**

This section contains the following topics:

## Financial Management Process Principle Example 1

| | |
|---|---|
| **Principle** | All service offerings will be reviewed at regular intervals to determine whether they are economically justified from both the provider's and customer's points of view. |
| **Sample Application** | All applications will be reviewed quarterly to determine their ROI. Those with a negative ROI will be reviewed for possible removal or replacement. |
| **Rationale** | • Assures the affordability of services offered/received.<br>• Identifies services with low value and high support costs. |
| **Implications** | • We have tools that allocate costs appropriately.<br>• Only valuable services are funded.<br>• We understand what services IT is offering.<br>• We understand IT delivery costs and the service delivery chain. |

## Financial Management Process Principle Example 2

| | |
|---|---|
| **Principle** | Users will be charged for IT services in a manner that reflects the true costs of using them. |
| **Sample Application** | IT charges for Order Entry department users of IT will be based on the number of customers served and orders taken. |
| **Rationale** | • Focuses on the true cost of IT services.<br>• Controls user demands.<br>• Promotes justification mentality. |
| **Implications** | • We understand that definition of charging mechanisms is a challenge.<br>• We have support of the enterprise.<br>• We have clear charging policies (i.e. profit center, cost recovery only, etc.). |

# Data Principle Examples

## Overview

**Introduction**

The following Chapter contains examples of data principles.

Each example includes:

- A **Principle** statement
- A **Sample Application** of the principle
- A **Rationale** for accepting the principle
- The **Implications** of the Principle

**Contents**

This chapter contains the following topics:

## Data Principle Example 1

| | |
|---|---|
| **Principle** | IT Service Management processes must use common data wherever possible. |
| **Sample Application** | All incident history and service events will be located in the Incident Management Database. |
| **Rationale** | • Promotes integration and correlation of data.<br>• Reduces the need for re-entry and chance for error.<br>• Simpler to administer the data. |
| **Implications** | • We utilize powerful automated management systems.<br>• We strive to obtain availability of integrated data solutions whenever possible.<br>• Data design and normalization activities are done to accomplish this goal.<br>• Data is interfaced or ported between different automation solutions. |

## Data Principle Example 2

| | |
|---|---|
| **Principle** | IT is responsible for the integrity of data associated with IT services, irrespective of technical platform. |
| **Sample Application** | IT has implemented services and controls to ensure that data is secure and reliable. |
| **Rationale** | • Data is a corporate asset which IT is mandated to manage.<br>• Users will not do it.<br>• There needs to be separation between producers of data and those managing it. |
| **Implications** | • We make users aware of what data management IT will and will not provide through SLA's.<br>• We are able to handle increasingly complex data management requirements driven through increased business demands and regulations. |

# Service Monitoring and Control Principle Examples

## Overview

**Introduction**

The following chapter contains examples of service monitoring and control principles

Each example includes:

- A **Principle** statement
- A **Sample Application** of the principle
- A **Rationale** for accepting the principle
- The **Implications** of the Principle

**Contents**

This chapter contains the following topics:

## Service Monitoring and Control Principle Example 1

| | |
|---|---|
| **Principle** | Event notifications will only go to those responsible for handling or decision processes related to them. |
| **Sample Application** | Each event is tagged to a set of distribution lists of who receives the event. These lists are maintained though Change Management. |
| **Rationale** | • Directs event handling activities only to those who must process them.<br>• Avoid needless notifications to those not directly involved in processing events. |
| **Implication** | • We identify which departments, groups or individuals need to respond to events.<br>• We maintain event routing information as new events are added or personnel responsibilities change. |

## Service Monitoring and Control Principle Example 2

| | |
|---|---|
| **Principle** | All event management and support will be centralized. |
| **Sample Application** | All events from distributed e-mail processing servers will be routed to the main processing center for escalation and handling. |
| **Rationale** | • Avoids conflicts in management of events.<br>• Allows for appropriate operational response for new events and changes in processes.<br>• Avoids support personnel receiving event notifications for events they are not prepared to handle. |
| **Implications** | • A common rule base has been built and maintained.<br>• We process rule changes and additions through a change management process.<br>• Support personnel have buy-in processes to accept/reject event changes. |

## Service Monitoring and Control Principle Example 3

| | |
|---|---|
| **Principle** | All application events must utilize a common set of messaging and logging standards. |
| **Sample Application** | All ABC application transaction programs will raise their events by logging an event alarm record. This record will have fields and a structure that conform to the corporate standard record structure for system events. |
| **Rationale** | • Consistent, common ways to process and handle events.<br>• Faster implementation of event processing.<br>• Sets common expectations for how events will be recognized and handled. |
| **Implications** | • Publish a standard set of APIs, event message formats, usage and event classification criteria.<br>• Communicate event management standards to application development personnel. |

## Service Monitoring and Control Principle Example 4

| | |
|---|---|
| **Principle** | Only application events that are made available will be recognized and processed. |
| **Sample Application** | End-user availability of application ABC cannot be monitored unless dummy transactions are developed that run automatically during periodic intervals that drop status information. These dummy transactions must be reflective of general end-user behavior and the basis for end-to-end availability will be calculated from the logged status information. |
| **Rationale** | • Cannot effectively monitor what cannot be seen. |
| **Implications** | • Application developers identify which application events are to be recognized.<br>• Application developers build messaging hooks into the applications for events they wish to recognize. |

## Service Monitoring and Control Principle Example 5

| | |
|---|---|
| **Principle** | Event processes will be automated whenever possible. |
| **Sample Application** | Event handling procedures will be reviewed on a bi-monthly basis to determine candidate activities for automation. A small Service Improvement Program will be put into place to implement any automation recommendations found. |
| **Rationale** | • Eliminates potential problems that can be caused by human error.<br>• Targets event processing that can occur transparently to end-users and IT personnel. |
| **Implications** | • We implement programs to continuously look for candidates for automation.<br>• Automation solutions for application events involve developers who may need to construct additional scripts, code or procedures to provide automated recovery at the applications level.<br>• Application dependencies are considered when developing automated response handling. |

## Service Monitoring and Control Principle Example 6

| | |
|---|---|
| **Principle** | All events must subscribe to a standard classification scheme that references common handling and escalation processes. |
| **Sample Application** | All ABC application database events will be classified as application level events and escalated to the applications support group. |
| **Rationale** | • Provides a consistent approach and set of expectations for handling and managing events in a manner tied to service level objectives.<br>• Streamlines the number of escalation approaches and handling processes that will need to be built. |
| **Implications** | • We tie common approaches to service levels and objectives for problem severity, notification and priority levels.<br>• We establish common handling processes for each class of event. |

## Service Monitoring and Control Principle Example 7

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| **Principle** | Only events that require operational intervention will be recognized. |
| **Sample Application** | User-ID password resets will only be logged to the central security database for audit purposes. Password reset attempts that exceed 3 tries will raise a Security event that will escalate to the Security Management support group. |
| **Rationale** | • Eliminates needless notifications.<br>• Makes recognition of events more noticeable to support staff by not mixing important events with unimportant notifications and messages. |
| **Implications** | • We identify what messages are important.<br>• We list events in a common classification scheme. |

## Service Monitoring and Control Principle Example 8

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| **Principle** | All recognized events will be captured and logged. |
| **Sample Application** | All application ABC events will be tagged with their event classification type and logged into event databases for review and analysis. Event history will be maintained for 6 months. |
| **Rationale** | • Provides a means for examining problems and trends after events have occurred.<br>• Serves as an aid for root cause analysis in Problem and Availability Management. |
| **Implications** | • We log all recognized events.<br>• We provide adequate storage resources for event capture and retention.<br>• We implement data manipulation, filtering and reporting to quickly search and identify event situations.<br>• We interface events with Incident and Problem Management databases. |

## Service Monitoring and Control Principle Example 9

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|---|---|
| **Principle** | Every recognized event must have a clear owner. |
| **Sample Application** | John Smith will own all events classified as security. |
| **Rationale** | • Clearly identifies responsibilities for event handling.<br>• Clearly communicates to support staff who should handle what kind of events. |
| **Implications** | • We identify default owners by event or class of event.<br>• We differentiate roles and responsibilities between groups charged with event handling responsibilities.<br>• We split roles and responsibilities for complex events. |