

How To Conduct An ITSM Process Assessment

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Preface

Congratulations, you have been appointed as a member of the IT Service Management process self-assessment core team for your company. This paper will help you execute the planning and administration of your assessment and apply the output to an action plan for improvement.

A self-assessment is not just having an assessment instrument or tool to survey a number of respondents, collect the data and present the results. A *successful* assessment includes using the results to plan for improvements for people, process and tools.

This paper describes a holistic framework for conducting a self-assessment and using the outcome as a driver for continual improvement of the subject of the assessment and the assessment process itself. Having read this paper, you should be prepared for your part in conducting a highly beneficial process assessment.

This document will help you:

- Understand the importance of process maturity assessments and key terms
- Choose the right model and approach for conducting your IT Service Management process self-assessment
- Facilitate the self-assessment planning
- Plan and deliver appropriate communications and training throughout the process
- Gather and interpret data useful for decision making
- Evaluate and communicate the assessment results to stakeholders
- Motivate stakeholders to apply the assessment results to improvement plans



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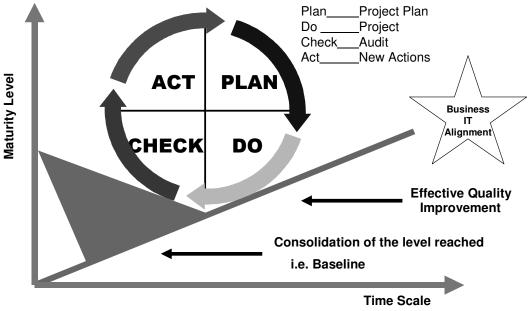
1 INTRODUCTION/OBJECTIVES

1.1 The Importance Of Continual Improvement (Plan, Do, Check, Act)

IT Service Management organizations that continually improve themselves are more successful than those that rely on maintaining the status quo. Improvement must focus on increasing efficiency, maximizing effectiveness and optimizing cost of services and the underlying IT Service Management processes.

Dr. W. Edwards Deming proposed a quality improvement model called the Deming Cycle or Plan - Do - Check - Act Cycle that can be used for steady ongoing (continual) improvement. The Plan and Do stages are used during process improvement projects to establish or update a process and execute it. The Check and Act stages are used to quantitatively and qualitatively assess the process and to identify process improvements opportunities.

The Deming PDCA Model



Continuous quality control and consolidation

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1.2 Data, Information, Knowledge, Wisdom Spectrum

During the data gathering phase of an assessment project both surveys (paper or automated) and face-to-face inquiries (group or individual) are involved with collecting facts. These facts might be answers to canned questions, comments, artifacts such as documentation and reports. This data then needs to be analyzed, synthesized and interpreted to provide information back to the organization. This is a first step in the Data – to – Information – to – Knowledge – to – Wisdom spectrum:

- Data a set of discrete facts about events
- Information comes from providing context to data (who, what, when, where?)
- Knowledge composed of the tacit experiences, ideas, insights, values and judgments of individuals, used to facilitate decision making (how?)
- Wisdom the application and contextual awareness to provide a strong common • sense judgment (why?)

The goal of the assessment is to provide *data* to the assessment team which is analyzed and used to develop specific questions for further *information* gathering (interviews and/or focus groups). The end result will be reports that contain knowledge (conclusions and recommendations) based on ITIL[®] and organizational subject matter expertise.

1.3 The Importance Of Assessments

To remain flexible and viable over, time organizations need to continually be asking themselves the following questions:

Business Vision, What is the Vision? mission, goals and objectives Baseline we now Assessments How do we keep the momentum Where do we want to Measurable Targets going? be? Service & Process How do we get there? Improvement Measurements & Did we get there? Metrics

The Continual Service Improvement Model

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Figure 3.2 Continual Service Improve



To answer these questions, an organization must create an inventory of its strengths and areas for improvement. The process to understand strengths and improvement opportunities is through a type of quality management initiative called an *assessment*. A carefully planned and executed assessment will provide management the opportunity to base decisions on data compiled from many individuals and add broader perspective to their own perceptions.

Assessments have one or more of these primary goals:

- **Investment Validation** quantify the need for or the result of investment in improving the subject processes
- **Process Improvement Baseline** establish a quantified baseline and then quantify results of improvement roadmap phases or audits
- **Planning** by virtue of using the same method across all assessed areas, aid in prioritizing corrective actions across several opportunities for improvement
- **Compliance** locate and quantify under and over achievement/compliance gaps

1.4 Introduction To PinkSCANTM

PinkSCAN is a standardized self-assessment methodology and online toolset that has been developed by Pink Elephant. The aim of the assessment is to determine the quality and effectiveness of the IT Service Management processes in an IT organization as compared to ITIL best practices. The reports provide you with a point-in-time snapshot of your IT Service Management processes to be used in your continual service improvement activities.

It is important that stakeholders understand what PinkSCAN is and what it is NOT. The PinkSCAN methodology provides an assessment of Service Management process maturity, not the overall performance or quality of your organization or individual staff members.

PinkSCAN is NOT:

- An employee performance assessment
- A compliance audit
- A technical survey
- A plan for improvement (though the results of a PinkSCAN provide vital input to improvement plans)

Methodology / Questions / Templates

PinkSCAN is foremost an assessment methodology supplemented by an online assessment tool. Features of the methodology include:



- Best practices for planning and conducting assessments
- Assessment questions that cover a significant breadth and depth of activities for each ITIL process to gain the best overall understanding of an organization's maturity level
- General guidance for augmenting your online surveys with additional assessment techniques such as focus groups and interviews
- Help with interpreting and presenting the assessment results

Included in the methodology is a set of 35-45 questions designed specifically for each supported ITIL process. The questions relate to best practice process activities including designated roles, documentation and measurements. Each question contains two parts for the participant to answer. Part A asks the participant to choose a maturity level that best reflects how the activity is currently performed within the organization. Part B asks the participant how important the activity is in his or her daily job role.

It is important that the assessment team and stakeholders understand that the value gained from an assessment is directly proportional to the planning and thoroughness of the assessment effort. A successful assessment is much more than a set of completed surveys.

Planning, communication and reporting templates are included in the methodology to support the assessment team with those tasks. The intent is to provide the team with proven tools and help defray the time and cost for the overall assessment project.

PinkSCAN Online

PinkSCAN online is a feature-rich electronic assessment tool that increases the efficiency of performing assessment surveys. By automating the assessment administration and generating reports, the assessment team is able to use the results for more productive follow-up interviews and discussions with the participants.

PinkSCAN Online supports the assessment team with the following features:

- Automated survey and communication distribution
- Include any number of supported ITIL processes in an assessment
- Allows the administrator to set a target maturity level for each process and perform a gap analysis
- Once all the invited participants have completed their surveys, the built-in report generator produces charts, graphs and related explanations eliminating the need for manual number crunching and graphing
- A historical database of validated PinkSCAN assessment data from companies around the world to support benchmarking



• Keep track of previous assessments and compare progress; driving your continual improvement efforts

Consulting Assistance

Pink Elephant consultants can help develop your assessment plan and facilitate a kick-off meeting to prepare the participants for their role in the assessment process.

Once your online survey is complete you may wish to engage third party consulting services to validate your results and help you highlight service improvement opportunities and provide quick win recommendations. Pink Elephant Professional Services can support your self-assessment project by:

- Results validation: Once the online surveys are completed, a consultant will use the data to facilitate focus groups or one-on-one interviews with participants to solicit additional information to support the results
- Reports and presentation of results: The consultant will bring ITSM, organizational and assessment experience to write an objective report highlighting observations, conclusions and recommendations for prioritized improvements
- Improvement plan: Working with the sponsor and assessment team, the consultant will bring experience and expertise to identify a short and long-term plan for improvement opportunities

1.5 Key Terms & Concepts

Assessments vs. Audits

An audit is a formal, detailed examination carried out by an independent organization to assess compliance with specifications, standards, contractual agreements or other criteria. The primary outcome of an audit is to prove conformity to these internal or external criteria.

An assessment is used to establish status relative to a standard or general requirement and used to identify opportunities for improvement. The primary outcome of an assessment is to help identify and prioritize the most critical initiatives and improvement actions based on fact.

A time-based difference between audits versus assessments is audits are conducted over a period of time (a quarter, a year) while assessments are conducted for a point in time (a snapshot of current status).



Internal vs. External Assessments

There are pros and cons for both internal (self-) and external assessments:

	Pros	Cons
Internal Assessments	 Avoids costs of external resources Flexibility in scheduling 	 Assessors may be biased by internal experience, pressure to reinforce management's position on the status quo Assessors may not have assessment and/or ITSM subject matter expertise Internal-only perspective may be limited by experience Improvement recommendations and plans may be limited by exposure to alternative approaches and perceived ITSM possibilities
External Assessments	 Experienced assessors with ITSM subject matter expertise Assessors have the breadth of practical process best practice experience and perspective to provide insight and foresight usually not available from internal resources Transition from assessment to recommendation is relatively short External assessor-provided improvement recommendations and plans are grounded in the self-assessment results, as well as the interviews/workshops conducted by the external assessor 	 Cost includes outside resources Need to coordinate with external resource availability Relative scarcity of qualified external resources

Understanding The Process Model

A process model enables understanding and helps to articulate the distinctive features of a process (a structured set of activities designed to accomplish a specific objective).

A process model is used:



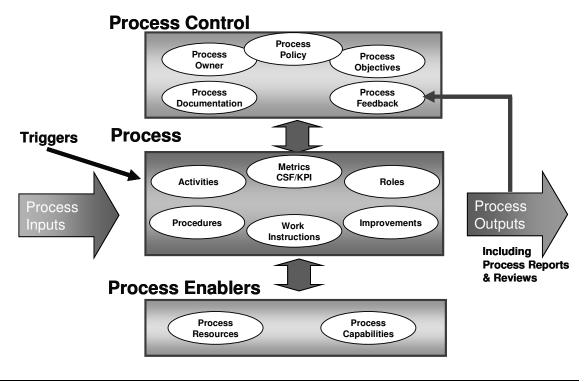
- To help set process improvement objectives and priorities
- To help ensure stable, capable and mature processes
- As a guide for improvement of project and organizational processes
- With an appraisal method to diagnose the state of an organization's current practices

A process model provides:

- A place to start improving
- The benefit of a community's prior experiences
- A common language and a shared vision
- A framework for prioritizing actions
- A way to define what improvement means for an organization

A process takes one or more inputs and turns them into defined outputs. The three major portions of the generic process model account for Process Control, the Process and Process Enablers. All of these generic process elements are critical in defining and implementing successful processes. Every assessment should ask questions to identify the existence of each of these elements. The collective set of PinkSCAN survey questions ensures all process elements are assessed.

Process Model



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Process Maturity (Using CMM)

PinkSCAN uses the Capability Maturity Model (CMM) to describe five evolutionary stages (levels) in which an organization manages its processes through maturity. CMM, the most common process maturity model, was developed by the Software Engineering Institute (SEI), Carnegie Mellon University, in 1986.

Originally, CMM was designed for use in software development. It has since been expanded and superseded by Capability Maturity Model Integration (CMMI) which shows how the CMM can be used for different disciplines within an organization, including Service Management, and yet be integrated.

CMM is a framework that describes the key elements of an effective process. It provides a foundation for process improvement. The CMM describes an evolutionary improvement path from an ad hoc, immature process to a mature, disciplined process.

When followed, these key practices improve the ability of organizations to meet goals for cost, schedule, functionality and product quality. The goal is to improve efficiency, return on investment and effectiveness.

Managers from all walks of life benefit from the maturity framework provided by CMM because it establishes a context in which:

- Practices can be repeated; if you don't repeat an activity, there is no reason to improve it. There are policies, procedures and practices that commit the organization to implementing and performing consistently
- Best practices can be rapidly transferred across groups. Practices are defined sufficiently to allow for transfer across project boundaries, thus providing some standardization for the organization
- Variations in performing best practices are reduced. Quantitative objectives are established for tasks, and measures are established, taken and maintained to form a baseline from which an assessment is possible
- Practices are continuously improved to enhance capability (optimizing)



Maturity Level	Description	
0. Non-Existent	A total lack of process activities	
1. Initial	• Evidence that the enterprise recognizes issues exist that need to be addressed	
2. Repeatable	Processes designed so that similar procedures are followed by individuals There is a high reliance on individual knowledge and skill level	
3. Defined	• A standardized and documented level of process communicated through training	
4. Managed	 Processes which are good practice and under constant improvement Automation and tools are beginning to monitor compliance 	
5. Optimized	• Facility of the ITIL process to receive and provide quality data to external management and business processes	

The five levels (1-5) of process maturity are:

Process Integration

Foundational to IT Service Management is process integration. For example, Problem Management depends on quality Incidents from Incident Management and Change Management is the controlling process for updates to the CMDB.

Though the CMM provides a widely-used maturity assessment for individual processes, it does not assess integration between processes. A complete assessment includes both the individual process and integration assessments. The PinkSCAN survey questions for each of the supported ITSM processes include a set of questions about process integration that are reported in a Process Integration Matrix graph.

Organizational Culture Assessment

Organizational Readiness

Every process improvement project brings with it an element of behavioral change. This can vary from changes in organizational charts to change to day-to-day work instructions. In any case, change can bring with it resistance and fear which if not understood and managed can undermine the effort. It is critical for the sponsors of a process improvement project to understand an organization's propensity toward change. Using information gleaned from an organization readiness assessment, the



project team can incorporate organizational change activities into the process improvement plan.

Perceived Importance

Each question in a PinkSCAN survey has two components. The first is to assess the maturity and the second asks the participant to indicate how important the question is to his or her job duties. The average importance is reported for each question and reported to the assessment team. Questions with a low perceived importance may be an indicator that the organization is not ready to take on these activities.

Introduction To The Culture Survey

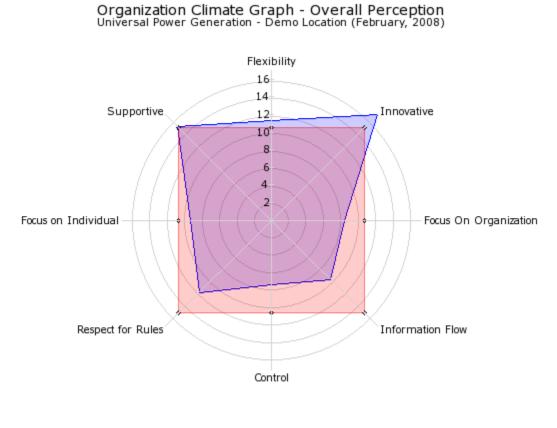
The aim of the Organization Culture Survey is to gain insight into the climate and culture of an organization in order to determine the best means to approach the process changes suggested within a process maturity assessment and corresponding process improvement plan.

The scope of the cultural survey should be applied to the IT organization being assessed for process maturity. The survey distinguishes between four types of organizational climate:

Climate Name	Characteristics	Focused On
Supporting	Aimed at peopleAimed at values	 Co-operation Tolerance Support Maximization of human commitment
Innovative Respect For Rules	 Change Adaptation Individual initiative Diversity Competition Safety Continuity Uniformity Affirmation of the 	 Growth and risk Stimulation of initiative Individual responsibility Optimal use of human resources Scientific findings taken into account Structure Formalization Centralization Standardization
Purposeful Information Flow	 above Planning Clear policy 	 Productivity Efficiency Work pressure Provision of logical guidelines by organization



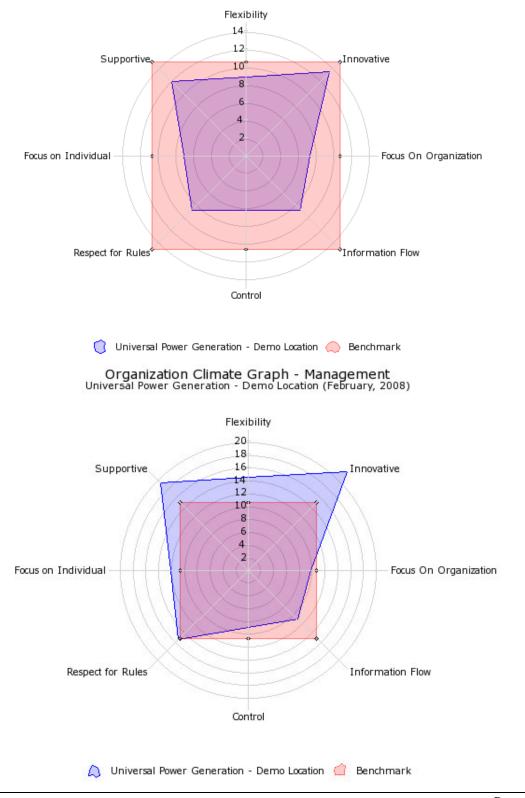
Three views of the results are provided in the final report: an overall view, a management view and a staff view. Note: if contractors are included in the survey, a fourth view is provided. Examples of the three views for the fictitious company, Universal Power Corporation, are shown below. Note the dramatic differences between the three views.



🌖 Universal Power Generation - Demo Location 🥚 Benchmark



How To Conduct An ITSM Process Assessment



Organization Climate Graph - Staff Universal Power Generation - Demo Location (February, 2008)

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Benchmarking

Benchmarking is used to compare processes under study to peer organizations' or units' processes. External benchmarking compares your processes to those in external organizations that share key characteristics (i.e.: In the same market sector – competitors) to establish relative strengths and weaknesses. Internal benchmarking compares units within an organization to highlight possible mismatches that can impede cooperation, efficiencies or cross-unit performance.

The improvement opportunities identified by benchmarking may not be apparent when measuring in isolation. Maintain perspective on the strength of the characteristics shared by your organization and the benchmark set – especially when there are intentional differentiations between your organization and the benchmark.

Benchmark validity can be a risk. You can mitigate this risk by using benchmarks that have been assessed for accuracy and collected in a manner similar to the method you are using for your assessment.

PinkSCAN Online benchmarks are calculated from PinkSCANs consistently collected and validated over time. The database contains twelve years of data from over 150 organizations across multiple industry segments. All data entered into the benchmark database must come from assessments conducted by Pink Elephant certified assessors.



2 ASSESSMENT PREPARATIONS

2.1 Planning

Assessment Inputs

Purpose & Opportunity

A process assessment is conducted by or on behalf of an organization for the purpose of understanding the state of its own processes for process improvement or for determining the suitability of its own processes for a particular internal or external requirement (e.g.: Sarbanes-Oxley legislative requirement). For an assessment to be successful, the exercise and outcomes must support the organization's business and management challenges. In other words, there should be an agreed and valid reason for expending time and effort to conduct an assessment.

The sponsor and assessment team should identify the purpose for conducting a PinkSCAN ITSM process maturity assessment. When identifying the purpose, the team may want to ask itself some of the following questions:

- What is the main driver for conducting an assessment?
- Why is this driver important at this time (now)?
- What does the sponsor intend to do with the results of the assessment?

Once the purpose has been clearly articulated and documented by the sponsor and assessment team it should be used to communicate the purpose to all key stakeholders as well as in on-going communications throughout the assessment and related Service Improvement Programs.

Scope (Organizational & Process)

Determining Organizational Scope

Process maturity assessments should span the entire IT organization. The intent is to understand how the organizational units work together to provide efficient and effective customer outcomes. For example, when assessing the Incident Management process, we are assessing how Incidents are handled across 1st, 2nd and 3rd level support groups to provide fast and accurate resolution for the end-user.

This end-to-end, or cross-organizational unit, process assessment is disconcerting to some staff because they believe their organizational unit can demonstrate a higher process maturity for a given process than their counterpart organizational units. They are often correct in their belief; however, the goal is to assess the end-to-end customer or end-user experience, not just the process maturity within one part of the



organization (often referred to as "silo" or "stovepipe"). The sponsor and assessment team should be prepared to answer questions if the overall score is lower than what might be expected from individual "silo" organizations who believe their score should be higher.

Some organizations want to include in the assessment only the part of the organization for which the sponsor has control. For instance, some organizations want to include the operations organization but not application development. If the assessment is conducted for a subset of the IT organization, then the results are measuring the department's maturity and not the broader maturity as experienced by the end-user.

Determining Process Scope

An assessment can include one, multiple or all of the supported ITSM processes. When deciding how many processes to include the assessment team should consider the current process implementations and the intent for process implementation over the next 12-18 months. Using the assessment to set a baseline even for processes that have had little formal implementation will serve as a comparative measure to demonstrate improvements.

Stakeholder Mapping

Identifying and understanding all of the stakeholders (people or groups who will be affected by, can influence, or are interested in the assessment and subsequent improvement plans) is critical step for the assessment project. Stakeholders can be any level of management, process owners, process managers, survey participants, IT staff, suppliers or customers.

A Stakeholder mapping exercise is done for several reasons:

- To understand who they are, what their relationship is to the project
- To determine what role they will play in the project (could just be a role requiring on-going communications), and what influence or issues they might have that need to be considered in the plan
- To identify their specific awareness and training needs in relationship to the communication plan

The following table can be used to list stakeholders and then serve as input to later communications planning.



Group / Name	Impact Of Assessment & Improvement Plans	Ability To Influence The Assessment Or Improvement Plans	View Of Assessment Project	Communication Or Training Needs	Potential Issues

Establishing Management Targets (Process Maturity)

While the maturity assessment is focused on answering the question, "Where are we now?", there is an opportunity to start thinking about the question, "Where do we want to be?" The core assessment team should consider appropriate target goals for each process. Use the CMM maturity table to determine a maturity level that will support the business outcomes without being excessive. Quite often a maturity target of three provides considerable improvement which can be sustained over time.

Constraints

The assessment team should identify any constraints that could impact the project and work through or around them. Constraints may be related to factors such as time, resources, politics, tools and legislation, for example "key participants are not available during assessment timeframe."

Identification Of Additional Materials / Information To Be Collected

The assessors need evidence to support statements made in workshops or interviews. The assessment coordinator should ask participants to bring examples of any documentation they have to workshops or interviews.

Choosing Assessment Models & Approaches

Assessment data is collected by conducting research surveys. There are different methods for surveying participants, each with their own good points and challenges.

Paper Or Electronic Survey Distribution

Questionnaire surveys either administered on paper or electronically are often used to collect data. Questionnaires are cheaper and quicker than an interview survey and are good for collecting sensitive information. The results are typically only quantitative, though comments may also be collected.

The response quality for distributed surveys is dependent on the questions being clear and precise so no individual interpretation is required. A distributed survey is



challenging for complex questions where further probing for more detail or examples is required.

Workshop / Focus Groups

Workshops or focus groups are a type of interview survey where several people are interviewed together using less time than interviewing each person separately. Group interviews can help in data gathering where an answer from one participant will trigger a thought for another participant, enriching the discussion. Challenges of group interviews occur when participants aren't comfortable sharing sensitive information in front of their colleagues or when a few dominant people speak for the group, creating a symptom known as "group think."

Interviews

An interview survey is one that is conducted individually with each participant. This is the most time consuming and costly type of research survey. Interviews are good when complex and sensitive information is needed.

Hybrid Models (Workshop, Individual Scoring)

An effective way to conduct research surveys which removes many challenges from distributed or interview surveys is a hybrid approach. The assessment begins with conducting a distributed questionnaire. Once the results have been tabulated and analyzed the assessment team can use the data to develop specific questions that address deeper and more complex areas. A workshop or focus group is then convened with the participants (a subset group is sufficient for large participant numbers) to address the targeted questions. The workshop is used to validate responses to the questionnaire and document additional information used in final reports and input to the process improvement plan.

Selecting The Assessment Team

Sponsor

Having senior managers as champions is a good way to engage them in the process. Visibility of commitment at the higher levels will help set the expectations for participating in the assessment across the organization.

The sponsor will be engaged in setting the context for the assessment as it applies to the current business challenges and potential opportunities. As the champion and communicator of the assessment purpose and process, the sponsor will start to establish the foundation where improvement plans and activities will be developed and implemented as an outcome of the assessment.



If the sponsor for an assessment is not part of senior management nor has the authority to implement change in the organization, then the team should either identify the means to engage senior management or raise questions about the longterm value for conducting an assessment at this time.

Coordinator

The Coordinator role is responsible for planning the assessment, developing and distributing communications, analyzing results and developing reports and presentations. The Coordinator should have frequent communications with the sponsor and assessment team to relay project status, care for any issues and provide preliminary findings as the assessment progresses.

Project Manager

A Project Manager/Planner is required for large assessment projects. In smaller projects this role will normally be another Coordinator responsibility.

Client Administrator

The Client Administrator role is responsible for administering the assessment in the online tool and being the primary contact for technical support.

Assessor Roles & Responsibilities (Lead Assessor, Scribe)

If focus group workshops or interviews will be conducted along with the online survey, a team of two people should be used to facilitate each discussion. The Lead Assessor will be responsible to run the meeting and will lead the majority of the inquiry. The scribe will capture the answers to the questions and any additional feedback gleaned.

The lead assessor and scribe should come from two different parts of the organization. This will help convey the message that the assessment project spans the organization and isn't coming from one area. The process owner should not be tasked with either of the assessor roles to help maintain neutrality during the workshop.

All data gathering (online and in-person) is intended to have anonymity in the final report. It is important that the people who are invited to participate in focus groups and interviews view the lead assessor and scribe as trustworthy and discrete.

PINK POINTER: The core assessment team should become familiar with the online assessment tool and the online survey questions. One way to do this is to conduct a mock assessment with all of the processes that will be included in the actual assessment. Once the team is familiar with the survey questions, they can support the participants during the actual assessment.



Selecting Participants (Staff, Management, Contractors)

Participant selection is a critical planning activity and will affect the quality of the results. Participants for each process survey or workshop should be selected from a cross-section of the overall organization and from management, staff and contractors. Participants should have the following characteristics:

- An understanding of the ITSM process being assessed, including the high level process activities and process terminology
- An understanding of how the process activities are carried today across the organization or within the individuals department
- Willingness to openly, honestly complete the assessment survey(s)

A rule of thumb for participant numbers is six to ten per process. If there are fewer than six participants the results will be skewed toward a couple of individuals. More than ten participants should not skew data but will add to the administration of setting up the assessment and follow-up to make sure the surveys are completed on time.

Scheduling

Establishing A Start & End Point For The Assessment

The assessment start date is dependent on other simultaneous activities going on in the organization and the amount of prior communication and/or ITSM training that needs to take place.

The end date needs to be set at a reasonable interval for all of the respondents to have time to answer the surveys.

PINK POINTER: Experience shows that the percentage of surveys completed is better with a shorter timeframe such as one to two weeks.

Electronic Survey Management, Status & Electronic Communication

The Client Admin needs a schedule for setting up the assessment in the tool and for periodic status reporting of participant activities in completing their surveys. A schedule for any communications outside the automated online tool communications will be part of the communications plan.



Workshops / Interviews

Create a workshop and/or interview schedule over a two to four day period. Two hour sessions should be sufficient for either workshop or interview format. If a consultant is going to participate, it is best to schedule four sessions per day.

Debrief Meetings (Assessors, Project Manager & Sponsor)

On-going communication across the assessment team and with the sponsor is good for keeping the project on target and provides a status for the data collected. A debrief meeting should be scheduled at the mid-point of the online survey period to provide a status on the percentage of surveys completed, after the online survey is complete and preliminary reports are available, and at the midpoint and conclusion of the workshop or interview schedule.

Report Writing & Quality Assurance

Report writing consists of compiling the information from the online survey and the face-to-face sessions, analyzing it to generate conclusions about the current environment and recommendations for improvements, and writing a formal report. Report writing will take two to four days which should be line items in the project schedule with appropriate resource time given.

Peer review or quality assurance is a good practice once the report writing is complete. One day should be scheduled with appropriate resources for this task.

Presentation & Sharing Of Results

It is best practice to share the results of the assessment with everyone who was asked to participate. The project schedule should include time to create a presentation using the final report as input. Dates for presentation to the sponsor and presentation to the larger participant audience should be scheduled as soon as practical.

2.2 Training & Communication

Communication & Awareness Planning

Use the stakeholder map as input to develop a communication and awareness plan. For each stakeholder use the 'who, what, where, why, when and how' questions to plan the reason for communication, type of communication and frequency of communication.

Developing Education Plans

All of the survey questions relate to ITIL process terminology and elements including activities, roles and measures. It is important that survey participants have some



background in the ITIL processes to ensure meaningful responses. Ideally, the participants will have ITIL Foundation certification. If not, the assessment team can plan an ITIL awareness session or distribute handouts for the participants to read prior to the assessment start date.

Kick-off Workshop

The sponsor and coordinator should conduct a kick-off workshop with all of the assessment participants within a week of the assessment start date. The agenda should include:

- Sponsor shares the assessment plan, including the purpose of the assessment and the goals for the assessment results
- Sponsor promotes the importance of the survey and encourages the participants to participate fully
- Coordinator explains the assessment process (surveys, workshops, results presentation)
- Coordinator educates the participants on the CMM maturity scale, the different surveys (process and culture), the survey questions (maturity and importance)
- Coordinator shares the assessment schedule

2.3 Critical Success Factors & Risks

Critical Success Factors:

- 1. PinkSCAN sponsor named and committed.
- 2. Client Administrator is named and committed.
- 3. Organization is aware of the Purpose, Scope and approximate schedule for first survey.
- 4. Participant requirements are known and mapped to roles in the organization.

Risks:

- 1. Erosion of Senior Management commitment.
- 2. Participant objectivity is unduly influenced.
- 3. Participants are unaware of or hostile towards terms, ITIL and process concepts.
- 4. Tool is seen as the solution rather than the entire assessment and gap closure process.



3 GATHERING & INTERPRETING DATA

3.1 Managing Online & Paper Surveys

The Client Administrator should monitor and communicate survey returns to ensure an acceptable response rate. The assessment team should use the information to determine the need for follow-up communications.

The PinkSCAN tool provides a status function to show which participants have completed their surveys, even though their responses are confidential.

PINK POINTER: The longer a participant delays replying to a survey, the less likely he or she is to do so at all.

3.2 Leading Workshops & Interviews

Typical Agenda:

- Introductions
- Review assessment goals
- Review process elements
- Review collateral brought by participants
- Interview using in-depth probing of process questions
- Close

PINK POINTER: It is best if the lead assessor and scribe debrief immediately after the workshop to collate notes, capture key points and highlight documentation left behind for later reference.

Question Types

The goal of workshops and interviews is to learn as much as possible about the current process activities from the participants. Assessors need to be very careful that they don't inadvertently control or stifle conversation. Assessors are simply gathering data, not judging or refuting the answers given. There are different types of questions that can help assessors facilitate the conversation, some that encourage people to be open and share their views and some that seek only one word answers:

Open-ended

Open-ended questions are questions that encourage people to talk about what is important to them. They help to establish rapport and gather information. For example, "Tell be about you Change Management process."

Probing

Probing is asking follow-up questions to try to get to the detail. Probing questions have a similar format to open-ended questions but are used in sequence to continue to get to the heart of the matter. Examples of probing questions are:

- "Can you explain what you mean by three levels of Change?"
- "Can you give me an example of a Standard Change?"
- "Could you please tell me more about how different groups use Standard Changes?"

Closed-ended

Questions where the respondent is asked to select an answer from a standard list, for example, yes/no. For example, "Do you have a Change Management process?"

Leading

A leading question is one that attempts to guide the respondents answer. Many leading questions are looking for a yes/no answer. For example, "You do log all of your Changes, don't you?"

Dealing With Strong Personalities

There are different types of strong personalities. Some people are aggressive, some are negative, some like to prove they know more than you, and etcetera. In the end most people simply want to be heard. This doesn't mean the assessors need to agree with people; they need to affirm their understanding with the participant and make a record of the point as part of data gathering. The goal is to keep the dialog moving in a productive manner and keep to the subject of the question being discussed.

PINK POINTER: If a participant becomes disruptive, the scribe can ask to speak to the person outside. The lead assessor and scribe should agree on a discrete signal they will use to communicate with each other should an issue arise.

Reviewing Documentation & Process Collateral

It is important to gather evidence to support the assessment conclusions. Documentation such as process workflows, policies, procedures, reports and training programs should be collected and reviewed for completeness and currency. Respondents should be asked how they use these artifacts and if people across the organization know they exist and how to locate them.



Obtaining Participant Input For Report Findings

The purpose of the workshop or interview is to collect as much information about the current process activities as possible. The lead assessor should use the process questions to initiate discussion and then continue to ask probing questions to learn how process activities are done and by whom, what tool(s) are used to automate the process, terms and acronyms used by the organization that relate to the process, roles and responsibilities as they are currently defined, how accountability and compliance are managed, and how the process is measured. The scribe should capture as much of the discussion as is relevant and possible and ask clarifying questions to make sure transcript is accurate.

PINK POINTER: It is helpful for report writing and improvement planning to get a sense of improvements the participants would like to see. A closing question for a workshop or interview could be, "If I could magically change how [process] is working, what would be different (or what would that look like)?"

3.3 Process Questions

Each process includes 35-45 questions. The first 20-30 questions are specific to the process being surveyed. The remaining questions ask about integration between this process and the other supported processes.

Each question has two parts, part A asks about the maturity level and part B asks about the participant's perceived importance for this activity.

1 A: Chan	1 A: Change Management exists as a standardized and repeatable process across our organization.					
	Non Existent	Initial	Repeatable	Defined	Managed	Optimized
	0	0	0	0	0	0
1 B: How	1 B: How important is this to your organization?					
	Not Applicable	Not Important	Fairly Important	Somewhat Important	Important	Very Important
	0	0	0	0	0	0

3.4 Critical Success Factors & Risks

Critical Success Factors:

- 1. Surveys are formed; participants respond on schedule.
- 2. Participants provide honest responses.
- 3. Lead assessor and scribe perform without bias.
- 4. Work-shopped and interviewed participants are open, honest, and objective in conversations.



Risks:

- 1. Scope of processes assigned to any participant may be overwhelming.
- 2. Undue pressure is applied to participants to "game" the system.
- 3. Workshop and/or interviews cannot be scheduled for most critical participants.
- 4. Participants are unaware of or hostile towards terms, ITIL and process concepts.
- 5. Emotional, personality issues or politics influence participants in workshops or interviews.



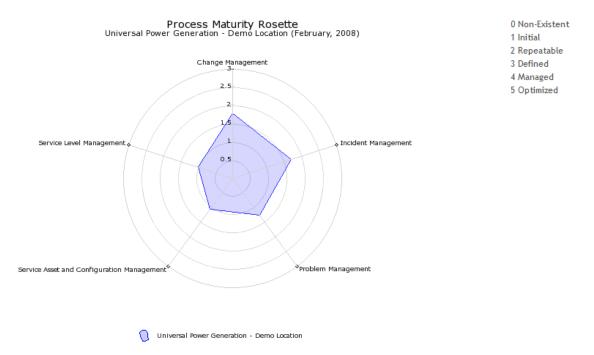
4 EVALUATING ASSESSMENT RESULTS

4.1 Organizational Process Consistency & Compliance

Process activities need to be performed consistently and repeatedly across the whole organization to achieve a higher maturity rating. When evaluating the maturity results, the assessment team needs to use information gathered through workshops and interviews to make sure the final maturity score is an accurate reflection of the organization.

4.2 Evaluating Maturity

PinkSCAN provides a maturity rosette graphic with all of the processes assessed. (The graph scale expands from 0-3 to 0-5 based on the highest assessed maturity.) The assessment team should use the information gathered during workshops and interviews to validate the results of the electronic survey.



4.3 Evaluating The Perceived Importance

PinkSCAN provides a graph showing perceived process importance compared to process maturity. A richer evaluation of perceived importance is to look at the Average Importance Score for each question independently. The information gleaned from this exercise can help when prioritizing improvement opportunities and may provide an understanding of the changes an organization is willing to accept (i.e.: Low Average Importance Scores may be an indication the staff doesn't want to change).



Change Management

Order	Question	Average Score	Average Importance Score
1	Change Management exists as a standardized and repeatable process across our organization.	2	4.5
2	Clear roles and responsibilities have been identified, defined, documented and appointed for the Change Management.	3	4.5
3	A Change Management process owner with accountability for the process across the organization has been appointed. The process owner has the authority to ensure compliance to and governance of the process.	3	5

4.4 Evaluating Integration

Integration leverages the processes with each other and provides maximum utilization. The more highly integrated the processes, the better indication of the sophistication and efficiency of the organization. The survey questions related to integration address how well the outputs of one process are used in other processes. It is more likely to have a high integration score between two processes when each of their maturity scores is a three or better. However, when implementing process improvements for one process, it is important to plan for future integrations with other processes and minimize rework down the road.

4.5 PinkINDEX Rating

PinkINDEX combines the maturity score with the integration score to provide another measurement index. A "perfect" index score is 100%, meaning that maturity and integration of all the surveyed processes are at the highest possible score when compared to all the processes the tool can measure. Achieving both individual process maturity and integration between processes should be the ITSM Program goal.

4.6 Evaluating Cultural Assessment

There are two key objectives when analyzing the cultural assessment results:

- 1. To highlight potential *cultural risks* to the process improvement initiative that need to be addressed.
- 2. To highlight positive cultural parameters that should be *promoted as opportunities* to support the process improvement initiative.



How To Conduct An ITSM Process Assessment

The organizational climate tables below are used to identify risks and opportunities:

Support

Above Benchmark	Below Benchmark
	 Process initiative requires
	teamwork within and across
	functional silos to succeed
	• Management needs to look
	into team-building
No significant risk	opportunities within their
	teams and with other teams
	\circ Management 'walk the talk'
	and be seen as working
	together across departments.
	Example: Have joint
	presentations to promote the
	process initiative
	• Review communication
	channels within and across
	teams. How can they be
	improved?
• A supportive culture is an	
enabler to process change	
• Promote the supportive	No significant opportunity
culture as a critical success	
factor for the initiative	
\circ Ensure the collaborative	
culture is maintained	
throughout the initiative	
	 A supportive culture is an enabler to process change Promote the supportive culture as a critical success factor for the initiative Ensure the collaborative culture is maintained

Innovation

	Above Bencl	nmark Below	Benchmark
Risk For Process Initiative	 Process initiative seen as 'curbing innovation 	g'	
	 Risk that this m a backlash or th will not be follo 	e processes	No significant risk
Recommendations To Mitigate Risk	 Buy-in campaig critical success Message that pr not curb individ innovation need 'sold' 	factor. cocess will lual	



	Governance to ensure process compliance will be essential in 'implementing' the processes	
Opportunities For	• Use the innovative	
Process Initiative	'culture' to support process	
	design	No significant opportunity
Recommendation	\circ Identify 'innovators' and	
To Leverage	put them on the project	
Opportunity	team to support process	
	design or other 'creative'	
	activities	

Information Flow

	Above Benchmark	Below Benchmark
Risk For Process		\circ It will take time for the current
Initiative		culture to adapt to a more
	No significant risk	formalized way of working
Recommendations		 Consider adopting an
To Mitigate Risk		'Organizational Change
		framework' such as Kotter
Opportunities For	• A 'purposeful information	\circ Address the fact there is a gap.
Process Initiative	flow' culture is an enabler	Employees do not perceive
	to process change	that they are working as
		productively as the can as they
		do not necessarily have all the
		information they need on hand
		to fulfill their roles
Recommendation	• Promote the culture as a	\circ Ensure that sales, awareness
To Leverage	critical success factor for	or communication campaign
Opportunity	the initiative	promotes the fact that the
	• Ensure the culture is	process initiative will define
	maintained throughout the	information requirements and
	initiative	flows through processes. This
		will be supported through
		automation (toolsets)
		providing the right
		information at the right time



Respect For Rules

Respect For Rules		
	Above Benchmark	Below Benchmark
Risk For Process		\circ It will take time for the current
Initiative	No significant risk	culture to adapt to a more
		formalized way of working
Recommendations		 Consider adopting an
To Mitigate Risk		'Organizational Change
		framework' such as Kotter
Opportunities For	• A 'respect for rules'	\circ Address the fact there is a gap.
Process Initiative	culture is an enabler to	Employees do not perceive
	process change	that they have enough
		structure and guidance in the
		workplace. Implies that there
		are generally few structures
		policies, processes and
		procedures
Recommendation	• Promote the culture as a	• Ensure that sales, awareness
To Leverage	critical success factor for	or the communication
Opportunity	the initiative	campaign promotes the fact
	\circ Ensure the culture is	that the process initiative will
	maintained throughout the	provide more structure and
	initiative	policies and hence support
		respect for rules

4.7 Critical Success Factors & Risks

Critical Success Factors:

- 1. Assessment sponsor and supporting staff
 - a. Understand the process assessment results.
 - b. Understand implications of the process assessment results.
 - c. Agree that the process assessment results adequately represent the status quo.
- 2. Assessment sponsor and supporting staff
 - a. Understand the culture assessment results.
 - b. Understand implications of the culture assessment results.
 - c. Agree that the culture assessment results adequately represent the status quo.

Risks:

- 1. There is no one among the assessment sponsor or staff that is well enough grounded in ITIL to understand the implications of the process assessment results.
- 2. There is no one among the assessment sponsor or staff able to address the issues asserted in the culture assessment results.



5 WRITING REPORTS & PRESENTING RESULTS

5.1 Writing Reports

Report Structure

The final report should summarize the entire assessment project and provide concrete conclusions of the current maturity and status and recommendations for improvement.

The report should contain the following:

- Executive Summary
 - Project Background and Problem Definition
 - Maturity Assessment high level summary of the assessment project
 - Process Maturity Scoring table of maturity scores for each process assessed. Integration, PinkINDEX and benchmark scores may also be included
- IT Organization and Environment provide a few paragraphs about the organization, the assessment scope, any areas of concern that prompted the assessment and any other relevant information about the organization
 - Overall Conclusions
 - Overall Recommendations
- Project Scope list the processes and the scope of the organization assessed
- Process Analysis
 - Maturity Model the maturity table for reference
 - Results copy the Process Maturity Rosette and any other graphs from the PinkSCAN graphs
 - Process 1 (e.g.: Incident Management)
 - Process Goal
 - Maturity Score
 - Process Specific Conclusions
 - Process Specific Recommendations
 - Repeat for each process assessed
- Organizational Climate provide a few paragraphs that describe the Culture Assessment. Insert the four types of organizational climate table
 - Copy the overall, management, staff and contactor graphs from the PinkSCAN graphs
 - Provide organizational readiness conclusions from the graphs and workshop discussions



Observations / Conclusions

Observations and conclusions must be supported by facts and should include both strengths and weaknesses identified through the assessment. Some conclusions can be made by analyzing the results to questions. Other conclusions come from the workshop discussions. Care should be taken when writing conclusions from workshop transcripts to protect the anonymity of the participants.

Recommendations

Recommendations should be aligned to the overall conclusions and provide recommended activities for improvement, highlights of existing areas of strength to leverage and suggestions for quick wins versus long term planning.

5.2 Communicating & Presenting Results

The sponsor and coordinator should host a results presentation for all of the assessment participants. It is reasonable to include other individuals who did not participate in the assessment. A presentation summarizing key points of the overall report can be used to communicate results in an assembly style meeting.

PINK POINTER: Ask one of the scribes to record comments and discussion during the results presentation. There are often good ideas to use as input for process improvement planning.

5.3 Critical Success Factors & Risks

Critical Success Factors:

- 1. Report conveys to executive staff the essence of the assessment results.
- 2. Report conveys to practitioners the urgency, desirability of closing opportunity gaps.
- 3. When included, the recommendations have assessment sponsor buy-in, and align with business goals.

Risks:

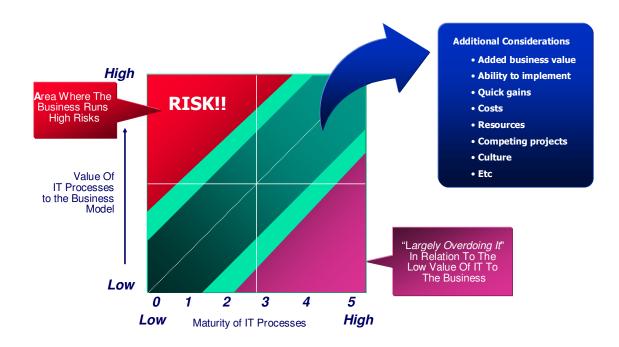
- 1. Report author is not provided adequate information on organizational goals and/or other critical alignment factors.
- 2. Report author uses terminology that is not understood by the readers.
- 3. Site-specific information incorrectly collected and/or reported undermines credibility of the report.

6 PROCESS IMPROVEMENT & INITIAL ROAD MAP PLANNING

6.1 Process Improvement Benefit Assertion & Prioritization

Once the assessment is complete the question, "Where are we now?" has been answered. The next step is to ask the questions, "Where do we want to be?" and "How do we get there?" The assessment results will provide a number of areas for improvement to help answer those questions. However, you can't do everything at once. The task here is to focus on the goal of the IT organization (start with the end in mind) and assess all the gaps identified in the assessment report. Determine which <u>one</u> gap is causing the greatest impediment to achieving the IT goals. This will become the input for process improvements.

PINK POINTER: The most valuable tool you have to identify which gap is causing the greatest impediment is your experience and *intuition*.



Use the following diagram and related instructions to help develop the roadmap:

- 1. The first step is to use the assessment results to map the processes to the assessed maturity levels. This baseline provides the benefit of establishing a starting point, which can be referenced when expressing improvements that have been realized by the Service Improvement program.
- 2. The next step is to then plot each process on the grid pictured above to determine how each process can potentially affect the business from a risk perspective. The

IT organization has the potential to greatly facilitate business goals. However, failures in IT controls and processes have the potential to also essentially disable business beyond recovery from a technical, legal and reputation perspective. Example: An immature Release and Change Management process can impact an online trading system significantly.

3. The third axis of input should be guided by the consideration of a number of organizational issues, such as process dependencies, organizational culture, funding, resources, political ability to influence, the need to establish early quick wins, etc. Based on these three input axis, an organization can begin to establish a roadmap unique to its situation.

Based on this model, it should become clear where a specific organization would start and how a program focused on process improvement can then be defined; however, the one missing element in this model is the fact that processes have a sequential order of dependency based on input and outputs, which must be taken into consideration.

Additionally, other factors such as level of difficulty and current IT culture must be taken into account. For example, from a pure logic perspective one might assume that Configuration Management should be implemented first since it plays a critical role in almost every other major IT process. The challenge with this philosophy is that it is also seen as one of the most difficult processes to implement successfully due to the factors listed above and does not have a chance if Change Management has not gained a reasonable level of control over the IT environment.

6.2 Quick Wins / Service Improvement Tracking

A service improvement program can take considerable time to design, implement and fully embed into the organization. The organization, particularly after investing in a survey, needs to see short-term gains. There should be a number of quick wins identified in the assessment report that align with the longer-term goals. For example, if Incidents aren't being resolved in a timely manner, institute an incident monitoring and tracking role and function.

Quick wins should be prioritized, assigned an owner, resources and deadline, and should be communicated as part of an on-going service improvement program.

6.3 Critical Success Factors & Risks

Critical Success Factors:

- 1. Continual Improvement Program is in practice.
- 2. Assessment report is the basis for specific improvement quick wins and initiatives.
- 3. Improvements are perceived as results of the assessment investment.



4. Follow-up assessment(s) are scheduled as part of the improvement program.

Risks:

- 1. Incremental value of improvement does not provide adequate return.
- 2. Delays in implementing improvements undermine confidence in Assessment and Continual Improvement cycles.

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