Executive Summary

The objective of this document is to provide guidelines for developing process implementation plans that will be usable across a wide range of diverse organizations. The guidelines within this document are designed for use as a general roadmap or, checklist for planning any major process development or re-engineering project.

Program Management

Many organizations that undertake programs to improve their core business processes and service delivery capabilities are frustrated by feelings of overriding failure regarding their ambitious goals. Or, at best, they achieve what they consider to be only minor successes. Much of that frustration can be directly attributed to a single, pervading factor: management’s inability to understand that when implementing processes within traditional silo focused organizations, they are in reality changing a large part of the IT business culture, roles and accountability structures.
Executive Summary

When mandating that departments must work as a team across the enterprise IT level, instead of in technology-based silos (a basic ITSM process requirement), numerous fundamental changes need to take place:

- Defined and repeatable cross-departmental processes need to be overlaid across existing hierarchical silo-based organizational structures
- The implementation of enterprise IT processes effectively creates a matrix organization where staff have several lines of accountability
- Job descriptions must include both cross functional as well as functional expectations that identify new areas of process-based responsibility and personal measurement
- Values, beliefs, and corporate cultures need to be changed from unconstructive, departmental competition, to customer-focused cooperation
- IT staff working within complex processes require a two-fold approach to training: they need to be provided with more general knowledge and they need specific skills training required for specialized activities
- To support a process approach, tools must be designed to enable collaborative team efforts to achieve multi-process data integration and a high degree of workflow automation
- Management must sponsor new staff performance measures that reward process effort as well as silo-based departmental efficiencies
- New policies must be put in place with existing staff, to clarify new expectations for performance, based on the new values surrounding process adherence, customer-based measures of service delivery expectations, and contracted service delivery levels

The key element to success is the realization that the ultimate goal for any process reengineering effort is the effective sponsorship and management of organizational change. To address this, a formal program must be developed with all of the rigors of a major project.
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1) PROCESS IMPLEMENTATION PROJECTS

As part of our consulting engagement model, Pink Elephant follows a standardized and scalable approach for implementing the Information Technology Infrastructure Library (ITIL) processes. The model for this approach begins with the creation of a core process design team and the identification of a larger group of stakeholders involved in review, feedback and signoff activities. A typical project plan includes staged milestones and project activities, which consider the requirements and dependence of process, tools, people, and governance.

The high-level project approach provides a model for the integration and sequence of activities that characterize a successful process implementation project.

1.1 Process, Tools, People, Governance (The Integrated Project Plan)

Organizations need to take a holistic view of process implementation projects. This will ensure a greater level of success for project completion and process embedding. Serious consideration needs to be given to the development and mapping of the four basic elements of any quality improvement initiative: process, tools, people and governance. To concentrate on one area to the detriment of the other can jeopardize the success of the project. The following model demonstrates the integration and sequence of activities between process, tools, people, and governance that comprise a typical process implementation project.
As can be seen from the model above, process implementation requires a complex, integrated and multi faceted set of activities that warrant the use of a formal project methodology. The section below (2.6 Process Roles and Responsibilities) will discuss the recommended formal role that should be established to manage process implementation programs.

The implementation of each ITIL process follows the model depicted in Figure 2 above. The scope of this document covers the development of IT Service Management processes.
1.1.1 Project Timelines

Based on Pink’s experience and the model illustrated above, a typical project in a single location will take between four to six months for completion. The reasons for this duration are related to several factors:

1. Internal resources are typically assigned to projects in a part-time capacity with at best, two to three days a week being made available for status and design meetings as well as the creation of deliverables.

2. If process implementation is fundamentally about organizational change, then it is necessary to build activities into the project timelines that are focused on receiving feedback and signoff from process stakeholders, so that the organizational context of the project is continually acknowledged. Actual design and creation of deliverables should constitute approximately a third of the time required to implement a reengineered process. Most organizations that discount consensus building will find that processes designed without involvement from stakeholders will meet with a high level of resistance and will most likely fail.

3. It is necessary to staff the core process team with diverse members from all stakeholder groups in order to accommodate the complexities of running a process implementation initiative that incorporates strong, cross-departmental or regional participation. The added expense and time involved in travel and logistics associated with these projects requires a creative use of physical, as well as virtual participation regarding design and feedback activities. Coordinating the logistics and tools required to facilitate this level of involvement can add several months to the overall duration of the project. Typically a core team will be brought together more frequently at the beginning of a project and can then work in a more virtual mode as the project progresses.
Project timelines cannot be met until the following can be confirmed:

- Establishment of Executive Sponsorship and Process Owners
- Approval of budget for internal and external resources over the twelve month period
- Availability of funds for tool selection and customization according to the ITIL processes being designed and implemented
- Existence of the political will to define new ongoing roles for process management and coordination
- Construction of small core teams from internal resources
- Allocation of core team members as dedicated resources to their respective projects for a minimum of two or three days per week

Expected Project Deliverables:

- Documented and agreed goals and objectives for implementing the process
- Documented and agreed process and procedures
- Documented and agreed process policies
- Automation requirements defined and customized according to technology availability and constraints
- Documented and agreed awareness campaign and training activities for process implementation
- Documented and agreed management reports and key performance indicators
- Documented and agreed ongoing roles and responsibilities for the management, and continued ownership and improvement of the process
1.2 Implementation Roles

The following section represents the typical roles required for a process implementation program.

1.2.1 Process Owner

The initial planning phase of an ITIL program must include the establishment of the role of Process Owner. This key role is accountable for the overall quality of the process and oversees the management of, and organizational compliance to, the process flows, procedures, models, policies, and technologies.

The Process Owner performs the essential roles of process champion, design lead, advocate, and coach. Typically, a Process Owner should be a senior level manager with credibility, influence and authority across the various areas impacted by the activities of the process. The Process Owner must have the ability to influence and assure compliance to the policies and procedures put in place across the cultural and departmental silos of the IT organization.

The Process Owner’s job is not necessarily to do the actual hands-on process reengineering but to ensure that it gets done. Process Owners typically assemble the project team, obtain the resources that the team requires, protect the team from internal politics, and work to gain cooperation of the other executives and managers whose functional groups are involved in the process. The Process Owner’s responsibilities do not end with the successful embedding of a new process. In a process-oriented company, the Process Owner remains responsible for the integrity, communication, functionality, performance, compliance and business relevance of the process.

In large global projects, it is critical to implement a tiered governance and process ownership model that provides the flexibility and needed structure to maintain process consistency across the various regions.
1.2.2 Core Process Team

In addition to a Process Owner, each core process team should consist of four to six members and include cross-functional representatives from key departments, functional groups and regions within the organization. The make-up and composition of this team is a critical success factor in the overall success of the design, acceptance and effective implementation of the processes. In a global initiative, regional representatives can assume the roles of Process Manager or regional Process Owner; these Process Owners would then be responsible for further coordinating and defining the process procedures, tool customizations and implementation strategies required to deploy the process in their specific region. Core process team members should expect to spend at least two to three days a week working on the creation and design activities and their deliverables as defined in the projects.

The majority of the actual work of process development and reengineering is the job of the core process team. They will develop the high-level process model based on the ITIL framework and other existing sources of process knowledge, both external and internal.

1.2.3 Stakeholder Groups & Subject Matter Experts

In order to simultaneously maintain a control of cost and at the same time handle the cross-functional requirements for feedback, expertise, and sign off, additional stakeholders and subject matter experts could be identified and brought into the project at key times. The project work assigned to these individuals should not require a significant amount of work as it is mostly reviewing and providing feedback to the core process team. However, including these individuals will add to the duration of the project due to the calendar time allocated for the reviews. It is important to reiterate that the inclusion of such roles and activities in the project is critical for addressing political constraints and for ensuring the long-term success of the process initiative.
1.2.4 Internal & External Process Advisors

Process Owners, Project Managers, and core process teams need to focus on the specific reengineering activities being carried out in the organization. The Process Advisor role provides strategic, tactical, and operational knowledge transfer at the right place, at the right time, and in the right quantity, in order to facilitate the activities of the entire project. The Process Advisor is responsible for enabling and supporting the Process Owners, Project Manager, and the process teams by providing advice about correct knowledge, methods, and tools.

Process Advisors also bring to the project the experience of past implementations; they are equipped with in-depth knowledge of best practice, time saving strategies and templates. This role does not have to be dedicated to the project 100%. Typically, Process Advisors expend the majority of their efforts at the start of the project, conducting training and awareness seminars to ensure the project begins well and is equipped with the knowledge required. From that point forward, Process Advisors interact with the project at key milestones.

Process improvement programs are greatly assisted by the correct and timely use of both, internal and external advisors.

1.3 Pink Elephant Consulting Roles

How and when to use external resources are very important decisions that can either fast track you on the way to achieving your desired results, or end, with you wasting a great deal of money with little to no real lasting impact or value for your investment.

Trusted Advisors

Pink's Consultants fulfill a trusted advisor role to your IT Management project with strategic, tactical, and operational knowledge, skills and experience at the right place and at the right time to assist you towards achieving your improvement goals. We can support your IT Service Management (ITSM) implementation project in a variety of different roles.
A Senior Consultant provides subject matter expertise and acts as an advisor to the Process Owner and process design teams. Senior Consultants provide most of the knowledge transfer in the beginning phases of the project. As the project continues through its lifecycle, they then work with the team on a periodic and decreasing basis.

Pink Elephant can also provide hands-on assistance with deliverables by assigning a Process Consultant to work alongside process team members. This role can be shared between multiple process projects.
The following table provides a visual representation of the model used in our standard engagement activities.

Table 1: Project Roles

<table>
<thead>
<tr>
<th>Service Delivery</th>
<th>Project Role</th>
<th>Organizational Position</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>Executive Sponsor</strong></td>
<td></td>
</tr>
<tr>
<td>Principle Consultant</td>
<td><em>Strategic Vision and Direction</em></td>
<td>CIO and Executive</td>
</tr>
<tr>
<td>Managing Consultant</td>
<td><strong>Process Sponsor</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td><em>Tactical Integration and Change</em></td>
<td>Director Senior Manager</td>
</tr>
<tr>
<td>Senior Consultants</td>
<td><strong>Process Owner</strong></td>
<td></td>
</tr>
<tr>
<td>Consultants</td>
<td><em>Process Design and Training</em></td>
<td>Director Senior Manager</td>
</tr>
<tr>
<td></td>
<td><strong>Program/Project Manager</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td><em>Template Schedules</em></td>
<td>Internal PMO</td>
</tr>
<tr>
<td></td>
<td><strong>Team Leads or Process Managers</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td><em>Roles and Responsibilities</em></td>
<td>Specialists and Operational Staff</td>
</tr>
<tr>
<td></td>
<td><strong>Stakeholder &amp; Subject Matter Experts (SME)</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td><em>Training and Advisory</em></td>
<td>Managers or Specialists</td>
</tr>
<tr>
<td></td>
<td><strong>Process Team Members</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td><em>(Internal &amp; External)</em></td>
<td>Specialists and Operational Staff</td>
</tr>
<tr>
<td></td>
<td><em>Documentation/Workflow/Policy</em></td>
<td></td>
</tr>
</tbody>
</table>
1.4 High-Level Process Model Development

During the first phase of the project plan, the core team develops a high-level process model which includes process activities, global policies and defined process roles. This model is critical to understanding the drivers for staffing requirements and tool selection. In its most elemental form, the high-level process model maps the key process steps in a sequential flowchart design as shown in Figure 3 below:

![Figure 3: Basic High Level Process Model](www.pinkelephant.com)
As Figure 4 below illustrates, this high-level process model maps the flow and lifecycle of inputs entering the process all the way to the output of desired results. Decisions about staff roles, skills, and competencies are then better made when identifying process activities and process integration points. Areas for automation also become clear as detail is developed within the activities.

The goal of this phase is to establish the basic requirements that will set the tone and the direction of all future work. A high-level process model should help address the following points:

1. What is the objective of the process and how does it integrate with other processes?
2. What are the activities of the process and how do they flow from a sequential and parallel perspective?
3. What decision-points exist within the process and what information is required to make the decision?
4. Which are the roles that interact in the process and what do they do?

These points can be summarized by the following questions:

- What is the process and what is the point of it? (i.e.: What is the purpose of the process and its role in the framework?)
- What happens when?
• Who gets to do what?

It is absolutely critical to address these points and to gain political consensus about them in the high-level process design phase before moving the project forward. Ineffective consensus-making and agreeing at this point will provoke disagreements and excessive debate over basic decisions about what, when and who, during the definition of policies, procedures and deployment training.

The primary tools presented here are sample flow diagrams that represent a deployable process model and description, as well as an Authority Matrix that represents a tool to facilitate the mapping of roles to a process flow (see section 2.6.1).

1.5 Detailed Design

After the high-level process model has been developed and illustrated in a flow diagram, the process needs to be carried down to another level of detail in order to be truly executable.

1.5.1 Process Procedures

After the high-level process model has been developed and illustrated in a flow diagram or model, detailed procedures need to be developed to document each activity. Process dependencies will also have to be worked out such as Priority Indicators, Categorization Schemes, and Escalation Models. Developing adequate procedures ensures that a process flow is documented with enough detail so that consistent execution and clear handling of process exceptions is possible.
In short, procedures should:

- Describe clusters of sequential and/or related activities that together, realize the process objective
- Be started by an external trigger (inputs)
- Have connections to other procedures
- Describe WHO, WHAT, WHEN and WHERE

Examples of Procedures Required For Change Management:

- What must be done to propose a major change?
- What must be done to handle a Request For Contract (RFC)?
- What must be done to handle an urgent change?
- What must be done to produce specific management information?
1.5.2 Development Of Work Instructions

Work Instructions are detailed, sequential, step-by-step descriptions of HOW to perform a task in exactly the same way each time. As illustrated in Figure 5 above, Work Instructions derive from the high-level process model by iterative activities that step down through each high-level process activity to define procedures that are comprised of more detailed Work Instructions (i.e.: descriptive process steps that not only define WHAT needs to be done but also finally HOW to do it). Work Instructions are generally required for sections of procedures that allow no deviation.

Work Instructions:

• Describe HOW an activity is performed
• Are required in ISO certified organization

Work Instructions are necessary for:

• Complex activities (e.g. more than one department involved at the same time)
• Activities that need to be performed identically every single time (e.g. back up procedures)
• Activities performed by an inexperienced or unskilled work force

1.5.3 Policies

Policies are a way to formally document management expectations and intentions. They are used to direct decisions and to ensure consistent and appropriate development and implementation of process activities, procedures, and work instructions. Without policy statements and documents the actual use of the process model would be up for interpretation. Examples of process components that would
generate policies are listed below.

Incident Management:
• Incident categorization and Classification models
• Assignment, Escalation and Notification models
• Major Incident Review process

Change Management:
• Request for change lead time process
• Change Classification models
• Change Approval requirements

Problem Management:
• Major Problem Review process

Configuration Management:
• Configuration Item update frequency
• Which attributes require change approval for modification

### 1.6 Process Roles & Responsibilities

Once detailed procedures and work instructions have been developed, an organization must design the new staffing model required to support the process and, more importantly, the process framework. This often presents a challenge for organizations because it is here, at this critical point, that IT leadership stakeholders begin to recognize clearly the extent of required changes to the status quo and the impact such changes might have on their sphere of influence and reporting structure. The effectiveness of the Communication Strategy and the Program Awareness Campaign can be determined and measured by the degree of resistance experienced at this strategic point in the detailed process design phase.

Clear definition of accountability and responsibility is a critical success factor for any process implementation project. Without clearly defined roles and responsibilities, the functional staff is unclear of the expectations surrounding their performance of
activities and they will revert to previous behavior in carrying out process tasks.

The RACI Matrix

To assist with the task of designing the new staffing model in support of the process, the RACI (Authority) Matrix is often used within organizations to indicate roles and responsibilities in relation to processes and activities. When the activities in the process flow are complete, a matrix can then be used to associate process activities with specific roles and responsibilities. Because involvement for each activity can be layered, it is useful to distinguish between the various levels of involvement for which an Authority Matrix can be created. The matrix can be used to verify that detailed procedures specify the appropriate level of involvement for different groups.

- Responsibility (R): correct execution of the process and activities. The person(s) or group(s) who actually executes the task are assigned an “R”
- Accountability (A): ownership of the quality and the end result of the process. For each activity (at each level of involvement), only one role (person or group) should be accountable
- Consulted (C): involvement through input of knowledge and information. If the activity requires input from a person or group, they are considered consulted
- Informed (I): receiving information about process execution and quality. If the activity requires that a person or group only receive information (per activity or in summary form), then they are informed
### 1.6.1 Example Of A RACI Model

<table>
<thead>
<tr>
<th>Function: Incident Management (Help Desk)</th>
<th>Client</th>
<th>Service Desk Manager</th>
<th>Network Administrator</th>
<th>Service Desk Analysts</th>
<th>Business Services Mgr.</th>
<th>Supplier</th>
</tr>
</thead>
<tbody>
<tr>
<td>Incident Alerted</td>
<td>R/I</td>
<td>A</td>
<td>I</td>
<td>I</td>
<td>I</td>
<td></td>
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<tr>
<td>Notification</td>
<td>I</td>
<td>A</td>
<td>R</td>
<td>R</td>
<td></td>
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<tr>
<td>Information Recorded</td>
<td>A/I</td>
<td>R/C</td>
<td>R/C</td>
<td>C</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Incident Classification</td>
<td>A/C</td>
<td>R</td>
<td>R</td>
<td>C</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Incident Diagnosis</td>
<td>C</td>
<td>A/I</td>
<td>C</td>
<td>C</td>
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<td>Initial Support</td>
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<td>Initial Investigation</td>
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<td>Resolution</td>
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<td>Recovery</td>
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<td>Escalation</td>
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<td>Further Support</td>
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<td>Detailed Investigation</td>
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<tr>
<td>Resolution</td>
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<tr>
<td>Recovery</td>
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</tr>
<tr>
<td>Incident follow-up</td>
<td>C</td>
<td>A/R</td>
<td>C</td>
<td>R</td>
<td>C</td>
<td></td>
</tr>
<tr>
<td>Incident Closure</td>
<td>I</td>
<td>A/I</td>
<td>R</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Monitoring</td>
<td>I</td>
<td>A/I</td>
<td>I</td>
<td>R</td>
<td>I</td>
<td></td>
</tr>
<tr>
<td>Proactive Communication</td>
<td>C/I</td>
<td>A/R</td>
<td>R</td>
<td></td>
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</tr>
<tr>
<td>Process Review</td>
<td>C/I</td>
<td>A/R</td>
<td>C</td>
<td>C</td>
<td>R</td>
<td>C</td>
</tr>
</tbody>
</table>
Possible Problems To Watch For With The RACI Model:

- More than one person accountable for a process
- Delegation of responsibility without necessary authority
- Delegation of accountability to the appropriate party
- Focus on matching processes and activities with departments
- Incorrect division/combination of functions: conflicting agendas or goals
- Combination of accountability for strongly related processes, such as Service Desk + Problem Management; Change + Release Management

As an organization works through the development of an authority matrix, it soon becomes clear that process workload distribution is not always easy or clear. A single activity in a process flow can be executed by multiple roles depending on various circumstances. A natural use of the RACI model is to define what policies and detailed procedures need to be in place. When all of the RACI elements have been completed with enough detail to describe when and how activities occur; when enough documentation has been developed to cover all the variables and if / then clauses present in the process flow; at this point, it can be concluded that an adequate level of documentation detail has been defined.

1.6.2 Critical Cultural Considerations

Organizational Culture is the set of values that is shared by the organization or groups within the organization. Culture includes expectations about how people should behave, as well as the beliefs, ideas, attitudes and practices of the organization. It is often expressed as “the way we normally do things.”
Culture is one of the strongest points of resistance to organizational change and it is extremely difficult itself to change. To be successful, however, process reengineering projects must consider current culture in order to change beliefs, attitudes, and behaviors effectively. Messages conveyed from senior management in an organization continually reinforce current culture for the positive or negative. Performance reward systems, stories of company origin and early successes of founders, physical symbols, and company icons constantly enforce the message of the current culture. These messages provide people in the organization with unspoken guidelines for the direction of acceptable behavior patterns. People quickly determine what is “good and bad behavior” and what behaviors will be accepted or rejected on the basis of the message received from the culture.

Organizational culture influences managerial behavior, which in turn directly influences company plans, policies and organizational direction. In short, culture is shaped and transformed by consistent patterns of management action. This means that reshaping of culture cannot be achieved in the short-term. Cultural changes must be continually reinforced by consistent action over the long-term. A new process, attitude, or slogan will not change culture if the underlying reward systems and messages of the current culture are not changed permanently. Quick fixes and spontaneous attempts to change culture will undoubtedly fail without long-term planning, commitment, and communication demonstrated by senior management.
2) PROCESS IMPLEMENTATION CONSIDERATIONS

A practical implementation of service management should include:

- Highlighting 'quick wins' to demonstrate the benefits of service management
- Starting with something simple and then adopting a phased approach
- Involving customers, especially those that have been critical of IT services
- Explaining the differences that will be seen by customers
- Involving third party service suppliers
- Explaining what is being done and why it is being done this way, to everyone involved or affected. Support staff is often cautious about changes. It is particularly important that they understand the benefits in order to overcome their resistance
- Involving staff wherever possible in designing improved process/workflow
- Facilitating a sense of ownership at all levels
- Encouraging education staff and managers to become service managers

2.1 Implementation Times

Throughput times for an implementation project depend upon the scale, required customization, and degree of complexity of each organization. In some organizations several processes can be implemented concurrently, subject to the following considerations:

- Size of the overall IT operation
- Scope of the role selected for each process
- Degree of integration with other IT processes
- Number of processes to be implemented
- Quality and number of assigned staff
- Speed of management decision-making
2.2 Applicability / Scalability

The size of the organization is an important factor when implementing ITIL processes (or indeed for any other kind of change). In a small organization, many of the roles defined may well be the responsibility of one person.

In practice, a large number of factors in the organization will have an impact on which combinations work best; however, based on best practices, the following can be said about role sharing:

- There is a tension between Incident and Problem Management because of their conflicting goals. The Incident Manager is responsible for quickly minimizing the effect of incidents on users. The Problem Manager’s task is to find the underlying cause and is less interested in the continuity of the users’ activities. When combining these two roles, this tension should be acknowledged.

- There is a similar tension between Problem and Change Management. When combining these roles, there is the danger of changes quickly being implemented by the Problem Manager; when the two roles are performed by the same person, no checks and balances exist.

- Roles that are quite commonly shared are those of the Configuration Manager and the Release Manager. Both tasks have an administrative component and are concerned with maintaining an up-to-date database.

- Configuration Manager and Change Manager can easily be shared roles as the Configuration Manager uses the Configuration Management Database (CMDB) information and there is no direct conflict of interest.
2.3 Critical Success Factors

There are several factors that will need to be considered to ensure a greater degree of project success:

**Business Decisions**
Decisions about the implementation of a process should be guided by the organization’s predefined process maturity goals.

**Time For Planning & Review**
Enough planning and review time should be given to the careful consideration of project plans, process goals, and tool requirements to ensure qualified decisions are made in respect to process implementation.

**Mutual Terms Of Reference**
When dealing with multiple business units or complex organizations, common frames of reference will need to be negotiated and agreed upon i.e.: categorization, priority (impact & urgency indicators), and escalation models. These values should be developed before a shared tool can be fully configured and used.

**Knowledge Of The People**
The Process Owners and operators who will work at developing a common sense of purpose for the Service Management process framework should have hands-on ownership in the development of this initiative. All stakeholders should have a solid understanding of the specific process in which they hold responsibilities as well as an understanding of process integration points within the framework.

**Product Configuration**
Time should be dedicated up front to the proper configuration of the Service Management process automation tool workflow and values. Detailed procedures and
work instructions will have to be documented, based on predefined process models, in order to ensure efficient mapping of process to technology.

**Central Focus On Control & Integration**
Maturity within the ITIL Service Management Framework primarily focuses on the control and integration of processes. It is important to ensure that inputs and outputs to each process are defined and automated wherever possible.

To limit the amount of rework in phased process implementation projects, Process Owners and key stakeholders should develop an integrated framework model early in the initial process design, and implementation planning activities, and use it as the high-level architectural blueprint for all subsequent process implementations.

**Project Review**
After the implementation of an ITIL process, a formal review should be done by the organization.

**Organizational Culture & Management Commitment**
Demonstrated Management Commitment is the cornerstone of all success factors. Without it, and direct participation from Senior Management, a process initiative or cultural change is severely constrained and more likely to fail.
2.4 Management Commitment

To ensure the greatest possibility for success, Senior Management’s role in respect to demonstrating commitment and participation in the project must be defined, agreed and acted upon. The following matrix (Figure 6) demonstrates the effect of low commitment and participation of Senior Management on the eventual success of a process implementation project.

**Probability Of Project Success**

<table>
<thead>
<tr>
<th>Management Commitment</th>
<th>Management Participation</th>
</tr>
</thead>
<tbody>
<tr>
<td>High</td>
<td>High</td>
</tr>
<tr>
<td>4 %</td>
<td>60 %</td>
</tr>
<tr>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>0 %</td>
<td>20 %</td>
</tr>
</tbody>
</table>

Other Considerations:
- Culture
- Budget
- Time

Figure 6: Management Commitment
3) PROCESS EMBEDDING STRATEGY

When it’s time to embed a process within an organization, the sequence and timing of activities plays an important role in ensuring the success and acceptance of the new processes, procedures, and policies.

The critical inputs for this stage of the project are as follows:

- Agreed Process Goal and Objectives
- High Level Process Flow
- Detailed Procedures and Work Instructions
- Guidelines / Support and Policy Documents
- Correctly installed and configured tools
- The right skill level and knowledge of staff
- Management Commitment
- Support staff commitment to authority matrix
- Customer awareness and acceptance

A constraint or limitation on any of the above points could indicate a potential problem with the embedding phase of the project.

3.1 Process Workshops / Training

This phase in process embeds uses from the output of the High Level Modeling and Detailed Design Phase, and employs user guides, procedure guides, policy documents and other training materials to communicate the new “Way We Work.” The goal of this activity is to ensure that roles and responsibilities are clearly understood, procedures are followed and policy adherence is understood to be a requirement as the IT organization moves forward in a Service Management-centered and Process-based work culture. Process workshop and training activities are listed and discussed in the following subsections.
3.1.1 Develop Lesson Plans

- Define target groups, for example:
  - Service Desk
  - Team Leads
  - Management
  - 2nd and 3rd level support

- Set Objectives
- Develop Time frames
- Develop Workshops / Training
- Develop specialized presentations
- Develop handouts and documentation
- Develop Marketing Material

3.1.2 Schedule Workshop & Process Embedding Dates

Timing is key when scheduling workshops. Ideally, training should be delivered just prior to going live with new procedures. The following timeline in Figure 7 illustrates this concept. It is always best practice to go live in a limited pilot location to minimize any potential impact to the organization.

![Figure 7: Training Timeline](www.pinkelephant.com)
3.1.3 Coaching Period

After the process start date, staff should continue learning to use the new procedures through scheduled coaching workshops. This extended coaching serves several important purposes. First, it will function in as a kind of quality audit to ensure that the new process and procedures are being adhered to. Second, during this period, process functionality will be examined in order to provide information for the first review. In the case of a pilot project, improvement adjustments can be made for the full implementation of the new process before organization-wide adoption.

3.1.4 Initial Process Review & Adjustment

Following the two weeks of process coaching and monitoring, an initial review should be conducted regarding the functionality of the new process. If bottlenecks or improvement recommendations are identified, the processes and procedures should be modified, piloted, reviewed, and then republished.

3.2 Detailed Activities (Project Check List):

- Create a Process Design and Implementation Plan
- Document Terms of Reference and a Statement of Requirement
- Conduct a Feasibility study
- Produce a Project Brief (high-level project definition)
- Create a Project Initiation Document (detailed description of Work Break Down and Product Break Down)
- Appoint a Process Owner
- Define a mission statement
- Set objectives
- Agree on scope, roles and responsibilities
- Review experiences, tools and processes at similar sites
- Perform a Risk Analysis
• Plan Product Selection and overall Design
• Mount Awareness Campaign
• Recruit and Train staff
• Perform Development and Validation activities
• Conduct a Pilot Project
• Conduct a Pilot Review
• Perform Implementation
• Conduct a Post-Implementation review
• Perform on-going management and operation
• Conduct efficiency and effectiveness reviews
• Perform regular and ad hoc audits

3.2.1 People Involved:

• Customers and IT staff
• Appointed Process Owners
• Support staff
• Suppliers, contractors and vendors
• Consultants
• Project teams
• Auditors

3.2.2 Awareness Campaign:

• Identified Sponsorship / Ownership of the Communication Plan
• Newsletters
• Workshops
• Bulletins
3.2.3 Systems Implementation Activities:

- Acquire and install equipment
- Customize tools
- Test system(s)
- Create hardware and software inventories
- Prepare documentation
- Train staff
- Carry out acceptance testing
- Perform post-implementation reviews and audits

3.2.4 Support Tools:

- Automate wherever possible
- Integrate with other Service Management processes
- Provide accurate and timely information
3.2.5 Post-Implementation & Audit:

- Reconcile requirements with reality: on time, on budget, deliverables met
- Compare activity levels with forecasts
- Assess human element
- Review effectiveness and efficiency
- Identify benefits gained
- Reconcile actual and planned roles
- Review overall project – how well did it go?
- Prepare review reports
- Guarantee quality management (assurance and control)

3.2.6 Other Considerations:

- Finance and Administration
- Human Resources (embed expectations for modified responsibilities into performance reviews)
- Suppliers, contractors and vendors
- Environment, accommodation and equipment
- Security
- Operations
- Networks
4) COMMUNICATION PLAN

Communication is a vital component of all projects that depend to any degree upon cultural change. A Service Management project will involve many people directly, but typically, the outcome will affect the working lives of many more. Implementing or improving service management within an organization requires a cultural change not only by IT employees, but by IT customers and users as well. Communication about this transformation is essential for success. It is necessary to ensure all parties are aware of what is going on, and can play a relevant part in the project. For this reason, clear and unambiguous planning about how the project will communicate with all interested parties is necessary.

A formal communication plan directly contributes to the success of the project. Remember: communication is more than a one-way information stream. It requires continuous attention to the signals (positive and negative) of the various parties involved.

Effective communication involves the following steps:

1) Formulate vision for change and role of communication.
2) Analyze current communication structure and culture.
3) Identify target groups.
4) Decide for each target group the communication objectives.
5) Decide for each target group the communication strategy.
6) Decide for each target group best communication methods and techniques.
7) Write communication plan.
8) Realize communication methods & techniques to communicate.
9) Measure and evaluate the effectiveness of the communication and adjust.

A communication plan describes how target groups, contents and media are connected in the time-line of the process implementation project. Much like a project plan, a communication plan is comprehensive, as it addresses activities, people, methods, timeframes and budget.
5)  EVALUATION OF THE PROJECT

As the project draws to a close, it is important to analyze how the project was managed and to identify lessons learned. This information can then be used to benefit the project team as well as the organization as a whole. An End Project Report will typically cover:

- Achievement of the project’s objectives
- Performance against plan (estimated time and costs versus actual)
- Effect on the original plan and business case over the time of the project
- Statistics on issues raised and changes made
- Total impact of changes approved
- Statistics on the quality of the work carried out (in relation to stated expectations)
- Lessons learned and recommendations
- Post-project review plan

5.1  Post-Project Review

The business case had been based on the premise that the project outcome will deliver benefits to the business over a period of time. The delivery of these stated benefits needs to be assessed at a point, after the project has been completed and the process has been in operation. The post-project review is used to assess if the expected benefits have been realized, as well as to investigate if problems have arisen from the use of the process.

Each of the benefits mentioned in the business case should be assessed, to ascertain to what degree the benefits have been achieved. The post-project review should also consider any additional benefits achieved, or unexpected problems that arose – both of which can be used to improve future business cases. If necessary, follow-up actions can be developed as adjustments or improvements are identified.
5.2 Auditing Using Quality Parameters

Process quality parameters can be seen as the “operational thermometer” of the IT organization. Quality parameters help determine whether processes are effective and efficient. There are two types of quality parameters: generic and process-specific.

Generic Quality Parameters For IT Service Management

The following parameters are, in fact, measurement types that need to be quantified before a valid assessment can be done. This task becomes easier once the required Service Levels and Internal Service Requirements have been determined.

Generic Quality parameters to consider include:

- Customer satisfaction
- Staff satisfaction
- Efficiency
- Effectiveness

Process-Specific Quality Parameters For IT Service Management

Process-specific quality parameters measure the degree to which the process delivered the desired outcome. Examples of process-specific quality parameters are:

- Efficiency of key process activities
- Reliability of process integration points
- Specific measure of process automation tool efficiency

The appropriate information needs to be collected in order to quantify the quality of each parameter. The nature of the information required will vary depending on how an organization decides to measure each aspect. These indicators should be clearly defined at the start of the project so that such benefits can be assessed objectively at a post-project review.
6) CONCLUSION

In conclusion, the objective of this document is to provide guidance for developing process implementation plans that will be usable across a wide range of diverse organizations. Managing change and ensuring overall project success is greatly facilitated by the development of a detailed implementation strategy. The guidelines developed within this document are designed for use as a framework or general methodology to consider when undertaking any major process development or reengineering project. The applicability and level of detail to which a project makes use of this report will depend upon the scale and complexity of the project or organization being considered.

However, in general it can be said that process implementation projects vary somewhat from traditional IT projects. They are by nature, projects that are dependent upon cultural change. Proactive measures to address change resistance, proactive project sponsorship activities, and creative communication planning activities must be incorporated into project planning at the earliest phases. Process implementation projects present special challenges for IT organizations, but adequate planning will help guarantee an effective implementation strategy.
7) **BIBLIOGRAPHY**

Books used in the development of this report:

ITIL Books & Modules:

- Service Strategy
  - Organizational Culture
- Service Design
  - Roles & Responsibilities
  - Designing Processes
  - Process Documentation Framework
- Continual Service Improvement (CSI)
  - CSI and Organizational Change
  - Communication Strategy & Plan

Other Sources Of Information:

- New Developments In Re-Engineering Organizations (Stephen Campell and Brian H. Kleiner)
- Leading Change (John P. Kotter)
- Various internal Pink Elephant consulting documents
- Quality Management for IT Services (CCTA ITIL)
8) ABOUT PINK ELEPHANT

Pink Elephant is proud to be celebrating 20 years of ITIL experience – more than any other supplier. Operating through many offices across the globe, the company is the world’s #1 supplier of ITIL and ITSM conferences, education and consulting services. To date, more than 350,000 IT professionals have benefited from Pink Elephant’s expertise. Pink Elephant has been championing the growth of ITIL worldwide since its inception in 1989, and was selected as an international expert to contribute to the ITIL V3 project as authors of V3’s Continual Service Improvement book and through representation on the International Exam Panel. For more information, please visit www.pinkelephant.com.

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