



# ITIL Self Assessment

*With Tools for Estimating the Business Value of  
Applying Best Practices to IT Disciplines*

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# ITIL Self Assessment

*With Tools for Estimating the Business Value of Applying IT Process Improvements*

## I. Self Assessment Summary

### A. Purpose of Self Assessment

This document provides a simple tool for assisting IT management in reviewing the overall effectiveness of their IT operations, and benchmarking them against best practices, specifically ITIL (Information Technology Infrastructure Library) standards.

In addition, once specific disciplines and functions have been benchmarked, this document provides tools to estimate the business value of these improvements. These numbers may be ultimately be used to present a business case for ITIL investments, and the ROI (return) on those investments. This may be useful in positioning the need for IT business process improvement, change management and ITIL implementation to senior management.

### B. Methodology

This assessment should be conducted as it applies to the entire IT organization, not to an individual or a group of department(s) or function(s).

For each assessment question, users should choose the answer that most accurately reflects the current state of the environment. While different departments within IT may have different answers, the IT organization as a whole can only have the "lowest" answer of any one respondent.

All of the goals for a specific KPA (Key Process Area) must be satisfied in order for the KPA to be satisfied. All of the KPAs within a maturity level and within each lower level must be satisfied in order to be rated at that maturity level.

### C. KPAs to Be Assessed

For the purpose of this assessment, KPAs apply to a *repeatable* maturity level. In the Infrastructure Technology Infrastructure Library (ITIL) a repeatable maturity level means that the most important processes have been introduced. The effective structure of IT processes is predictable, and the provision of IT services is repeatable. The process returns defined results within a specified time.

The purpose of this assessment is to help tool is to assist organizations in determining if their IT processes can be benchmarked as repeatable, according to ITIL standards. Repeatable levels are the lowest level of maturity, via ITIL standards, in which processes and procedures can be considered reliable and consistent.

The tool will assist in benchmarking the following KPAs:

- ❖ Service Commitment Management
- ❖ Service Delivery Planning
- ❖ Service Tracking and Oversight
- ❖ Subcontract Management
- ❖ Configuration Management
- ❖ Event Management
- ❖ Service Quality Assurance

## II. Repeatable KPA Assessment

### A. Service Commitment Management

Repeatable Service Commitment Management means that services are specified and realistic service levels are negotiated with the customer in order to deliver services that satisfy the customer's need for IT services. The delivered services, the specified service levels and the customer's IT service needs are reviewed with the customer on a regular basis. When necessary, the service level agreement is adjusted.

There are two basic issues targeted by this key process area: first, the service to be delivered is specified in a contract - the service level agreement- containing measurable service levels. Second, the service levels specified should address the business needs of the customer.

The planning to implement service management is a set in the Information Technology Infrastructure Library (ITIL) framework. Service Management is about the alignment of business needs and IT provision requirements, describes how to implement or improve Service Management and describes steps to ensure that business needs and IT provision requirements will be met.

The table below helps to assess the maturity of an organization's *repeatable* Service Management Commitment levels. The scoring key below indicates how each question should be scored, and interpretation of scoring is included below the table. Total score should indicate whether an organization has a consistent, inconsistent or non-existent approach to this KPA:

#### Scoring Key:

3= Consistently

2= Inconsistently

1= Never

Process Area: Service Commitment Management	Score
1. IT service needs of customer identified?	
2. IT service needs of customer documented?	
3. IT service <i>commitments</i> documented?	
4. IT service <i>commitments</i> evaluated with customer periodically?	
5. IT service <i>delivery</i> evaluated with customer periodically and event driven?	
6. IT service <i>delivery</i> measured and reported via automated toolset?	
7. IT service <i>delivery</i> measured and reported by separate organization?	
<b>Total Scoring Service Commitment Management</b>	

**Interpretation of Scoring:**

**15-21**= *Consistent* approach to service commitment management

**9-14**= *Inconsistent* approach to service commitment management

**Under 9**= *No organized approach* to service commitment management

**B. Service Delivery Planning**

Repeatable Service Delivery Planning ensures that the specified services can indeed be delivered according to the agreed upon service levels. The service delivery planning forms the basis for delivering the services.

The service delivery plan covers:

- ❖ the purpose, scope, and goals of the service delivery procedures
- ❖ methods and standards used in the service delivery
- ❖ identification of activities to be performed
- ❖ estimated use of resources
- ❖ estimated workload
- ❖ estimates of effort and costs
- ❖ schedule
- ❖ risks
- ❖ plans for necessary facilities and tools.

Service delivery activities are activities that directly produce service results for the customer. Examples are the restart of a crashed system, backing up user data, installing a new version of an information system, creating an account for a new user, answering questions about the use of software, replacing a broken piece of hardware,

creating an account for a new user, answering questions about the use of software, etc.

The table below helps to assess the maturity of an organization's *repeatable* Service Delivery Planning levels. The scoring key below indicates how each question should be scored, and interpretation of scoring is included below the table. Total score should indicate whether an organization has a consistent, inconsistent or non-existent approach to this KPA:

**Scoring Key:**

**3=** Consistently

**2=** Inconsistently

**1=** Never

Process Area: Service Delivery Plan Management	Score
1. Is the service delivery plan developed according to a documented procedure?	
2. Is the service delivery plan documented?	
3. Are the service delivery activities to be performed identified and planned according to a documented procedure?	
4. Are software and hardware products that are needed to establish and maintain control of the service delivery identified?	
5. Are estimates for the service delivery workload derived according to a documented procedure?	
6. Are estimates for the service delivery effort and costs derived according to a documented procedure?	
7. Is the service delivery schedule derived according to a documented procedure?	
8. Are the risks associated with the cost, resource, schedule and technical aspects of the service identified, assessed, and documented?	
9. Are plans prepared for the service facilities and support tools?	
10. Are service planning data recorded by an automated toolset?	
<b>Total Scoring Service Delivery Plan Management</b>	

**Interpretation of Scoring:**

**25-30=** *Consistent* approach to service commitment management

**15-24=** *Inconsistent* approach to service commitment management

**Under 15=** *No organized approach* to service commitment management

### C. Service Tracking and Oversight

Service delivery should be tracked, with the realized service levels benchmarked against the specified service levels, and then reported to the customer and executive management on a regular basis. Corrective actions should be taken when actual service delivery deviates from the specified service levels. This function is referred to as service tracking and oversight.

IT should report to the customer the actual services delivered, the level at which they were delivered, and, when relevant, problems that plagued accurate service delivery. The service level reports are used as input for the evaluation of service level agreements.

The table below helps to assess the maturity of an organization's *repeatable* Service Tracking and Oversight levels. The scoring key below indicates how each question should be scored, and interpretation of scoring is included below the table. Total score should indicate whether an organization has a consistent, inconsistent or non-existent approach to this KPA:

**Scoring Key:**

**3=** Consistently

**2=** Inconsistently

**1=** Never

Process Area: Service Tracking and Oversight.	Score
1. Is a documented service delivery plan used for tracking the service delivery activities and communicating status?	
2. Is the service delivery plan revised according to a documented procedure?	
3. Are approved changes to the service delivery plan communicated to the members of the service delivery group and other related groups?	
4. Are actual service levels tracked against the specified service levels, and are corrective actions taken as necessary?	
5. Is the service delivery workloads tracked, and are corrective actions taken as necessary?	
6. Are the service delivery activities' costs and effort tracked, and are corrective actions taken as necessary?	
7. Are the service facilities tracked, and are corrective actions taken as necessary?	
8. Is the service delivery schedules tracked, and are corrective actions taken as necessary?	
9. Are the service delivery activities tracked, and are corrective actions taken as necessary?	

<p>10. Are the service delivery risks associated with cost, resource, schedule and technical aspects of the services tracked?</p> <p>11. Are actual measurement data and replanning data for the service recorded and made available?</p> <p>12. Does the service delivery group conducts periodic internal reviews to track activity status, plans, actual service levels, and issues against the service delivery plan?</p> <p>13. Are formal reviews conducted with the customer to address the accomplishments and results of the services at selected moments according to a documented procedure?</p> <p>14. Are formal reviews conducted internally to address the accomplishments and results of the services at selected moments according to a documented procedure?</p> <p>15. Are actual measurement data and replanning data for the service recorded by an automated system?</p> <p>16. Are actual measurement data and replanning data for the service made available by an automated system that is accessible on-line by appropriate personnel?</p> <p><b>Total Scoring Service Tracking and Oversight Management</b></p>	
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**Interpretation of Scoring:**

**40-48= *Consistent*** approach to service tracking and oversight management

**24-47= *Inconsistent*** approach to service tracking and oversight management

**Under 24= *No organized approach*** to service tracking and oversight management

**D. Subcontract Management**

The purpose of Subcontract Management is to select qualified IT subcontractors and manage them effectively. The service provider can select and hire subcontractors to delegate parts of the service. If this is the case, the service to be delivered by the subcontractors is laid down in a service level agreement. The service provider keeps track of the actual services delivered by the subcontractor and takes corrective actions when the actual service levels deviate from the specified service levels.

The table below helps to assess the maturity of an organization's *repeatable* Subcontract Management levels. The scoring key below indicates how each question should be scored, and interpretation of scoring is included below the table. Total score should indicate whether an organization has a consistent, inconsistent or non-existent approach to this KPA:

**Scoring Key:**

**3= Consistently**

2= Inconsistently

1= Never

Process Area: Subcontract Management	Score
<ol style="list-style-type: none"><li>1. Is the service to be subcontracted specified and planned according to a documented procedure?</li><li>2. Is the subcontractor selected, based on an evaluation of the subcontract bidders' ability to deliver the service, according to a documented procedure?</li><li>3. Is the contractual agreement between the prime contractor and the subcontractor used as the basis for managing the subcontract?</li><li>4. Is the documented subcontractor's service delivery plan reviewed and approved by the prime contractor?</li><li>5. Is the documented and approved subcontractor's service delivery plan used for tracking the service activities and for communicating status?</li><li>6. Are changes to the subcontractor's service commitments, service delivery plan, and other commitments resolved according to a documented procedure?</li><li>7. Are subcontract service commitments evaluated with the subcontractor on both a periodic and an event-driven basis?</li><li>8. Is actual service delivery of the subcontracted services evaluated with the subcontractor on both a periodic and an event-driven basis?</li><li>9. Are formal reviews conducted with the subcontractor to address the accomplishments and results of the services at selected moments according to a documented procedure?</li><li>10. Does the prime contractor's service quality assurance group monitor the subcontractor's service quality assurance activities according to a documented procedure?</li><li>11. Does the prime contractor's configuration management group monitor the subcontractor's configuration management activities according to a documented procedure?</li><li>12. Does the prime contractor's configuration management group monitor the subcontractor's configuration management activities by means of automated toolsets?</li><li>13. Does the prime contractor's event management group monitor the subcontractor's event management activities according to a documented procedure?</li><li>14. Does the prime contractor's event management group monitor the subcontractor's event management activities by means of automated toolsets?</li><li>15. Does the prime contractor's event management group monitor the subcontractor's event management activities according to a documented</li></ol>	

procedure?

16. Does the prime contractor's event management group monitor the subcontractor's event management activities by means of an automated toolset?
17. Does the prime contractor provide customer reporting by means of an automated toolset?

**Total Subcontractor Management**

**Interpretation of Scoring:**

**42-51**= *Consistent* approach to subcontractor management

**26-41**= *Inconsistent* approach subcontractor management

**Under 26**= *No organized approach* to subcontractor management

**E. Configuration Management**

The main purpose of Configuration Management is to establish and maintain the integrity of products which are subject to or part of the IT services. Configuration Management involves the identification of the relevant hardware and software components which need to be put under configuration control. This includes components owned by the customer that are being managed by the service provider, components owned by the provider that are used by the customer and components owned by the provider that are used to deliver the service. Changes to the configuration are evaluated with respect to the service level agreement and with respect to possible risks for the integrity of the configuration.

A Configuration management plan covers the configuration management activities to be performed, the schedule of the activities, the assigned responsibilities, the resources required (including staff, tools, and computer facilities), the CM requirements and activities to be performed by the service delivery group and other related groups.

The table below helps to assess the maturity of an organization's *repeatable* Configuration Management levels. The scoring key below indicates how each question should be scored, and interpretation of scoring is included below the table. Total score should indicate whether an organization has a consistent, inconsistent or non-existent approach to this KPA:

**Scoring Key:**

**3**= Consistently

**2**= Inconsistently

**1**= Never

Process Area: Configuration Management	Score
<ol style="list-style-type: none"> <li>1. Is a configuration management plan prepared for each service according to a documented procedure?</li> <li>2. Is a documented and approved configuration management plan used as the basis for performing the configuration management activities?</li> <li>3. Is a configuration management library system established as a repository for the configuration base lines?</li> <li>4. Are the products to be placed under configuration management identified?</li> <li>5. Are action items for all configuration items/units initiated, recorded, reviewed, approved, and tracked to closure according to a documented procedure?</li> <li>6. Are action items for all configuration items/units initiated, recorded, reviewed, approved, and tracked to closure according to a documented procedure, by an automated process or toolset?</li> <li>7. Are changes to configuration baselines controlled according to a documented procedure?</li> <li>8. Are (software) products from the configuration baseline created and released according to a documented procedure?</li> <li>9. Is the status of configuration items/units recorded according to a documented procedure?</li> <li>10. Is the procedure in question 8 facilitated by an automated system?</li> <li>11. Are standard reports documenting the configuration management activities and the contents of the configuration baselines developed and made available to affected groups and individuals?</li> <li>12. Is the procedure in question 10 facilitated by an automated system?</li> <li>13. Are configuration baseline audits conducted according to a documented procedure?</li> <li>14. Are configuration baseline audits facilitated by an automated toolset?</li> </ol>	
<p><b>Total Scoring Configuration Management</b></p>	

**Interpretation of Scoring:**

**35-52= *Consistent*** approach to Configuration management

**21-34= *Inconsistent*** approach Configuration management

**Under 21= *No organized approach*** to Configuration management

**F. Event Management**

The purpose of Event Management is to ensure that events regarding the service are identified, registered, tracked, analyzed, and resolved. The status of events is

communicated with the customer and reported to management. This key process area concerns the management of events that causes or might cause service delivery to deviate from the agreed upon service levels.

Event Events can be either:

- ❖ • Requests for service from users, such as requests for a new feature in the software.
- ❖ • Incidents that cause or will cause service levels to be lower than agreed upon if no action is being taken. For example, a server that is down might cause the specified maximum down-time to be exceeded.

To resolve requests for service and incidents, changes to the configuration might be necessary. The decision whether to implement the change request that results from a service request or incident is the concern of Configuration Management.

The event management plan covers estimates of the event workload, the event management activities to be performed, the schedule of the activities, the assigned responsibilities, and the resources required (including staff, tools, and computer facilities).

The table below helps to assess the maturity of an organization's *repeatable* Event Management levels. The scoring key below indicates how each question should be scored, and interpretation of scoring is included below the table. Total score should indicate whether an organization has a consistent, inconsistent or non-existent approach to this KPA:

**Scoring Key:**

- 3= Consistently
- 2= Inconsistently
- 1= Never

Process Area: Event Management	Score
1. Is an event management plan prepared for each service according to a documented procedure?	
2. Is the documented and approved event management plan used as the basis for performing the event management activities?	
3. Is an event management library system established as a repository for the event records?	
4. Is the event management library system automated?	
5. Are events identified, recorded, analyzed, reviewed, and resolved according to a documented procedure?	
6. Are affected groups and individuals informed of the status of events on both a periodic and event-driven basis?	
7. Are affected groups and individuals informed of the status of events on both a	

<p>periodic and event-driven basis by an automated system?</p> <p>8. Are standard reports documenting the event management activities and the contents of the event repository developed and made available to affected groups and individuals?</p> <p>9. Are standard reports delivered and made available by an automated method or toolset?</p> <p>10. Are event repository audits conducted according to a documented procedure</p> <p><b>Total Scoring Event Management</b></p>	
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**Interpretation of Scoring:**

**25-30=** *Consistent* approach to service commitment management

**15-24=** *Inconsistent* approach to service commitment management

**Under 15=** *No organized approach* to service commitment management

**G. Service Quality Assurance**

The purpose of Service Quality Assurance is to provide management with the appropriate visibility into the processes being used and the services being delivered.

Service Quality Assurance (SQA) involves the reviewing and auditing of working procedures, service delivery activities and work products to see that they comply with applicable standards and procedures. Management and relevant groups are provided with the results of the reviews and audits. Where Service Tracking and Oversight is concerned with measuring service quality after the fact, from an external point of view, Service Quality Assurance is concerned with measuring quality in advance, from an

The service quality assurance plan covers:

- ❖ Responsibilities and authority of the SQA group.
- ❖ Resource requirements for the SQA group (including staff, tools, and facilities).
- ❖ Schedule and funding of the service's SQA group activities.
- ❖ SQA group's participation in establishing the service delivery plan, standards, and procedures for the service delivery.
- ❖ Evaluations to be performed by the SQA group.

The table below helps to assess the maturity of an organization's *repeatable* Service Quality Assurance levels. The scoring key below indicates how each question should be scored, and interpretation of scoring is included below the table. Total score should indicate whether an organization has a consistent, inconsistent or non-existent approach to this KPA:

**Scoring Key:**

**3**= Consistently

**2**= Inconsistently

**1**= Never

Process Area: Service Quality Assurance	Score
1. Is a SQA plan prepared for the service delivery according to a documented procedure?	
2. Are the SQA group's activities performed in accordance with the SQA plan?	
3. Does the SQA group participate in the preparation and review of the service commitments and service delivery planning, standards and procedures?	
4. Does the SQA group audit the service delivery activities to verify compliance?	
5. Does the SQA group periodically report the results of its activities to the service delivery group(s)?	
6. Are deviations, identified in the service activities and delivered service, documented and handled according to a documented procedure?	
7. Does the SQA group conduct periodic reviews of its activities and findings with the customer's SQA personnel, as appropriate?	
8. Does the SQA group periodically report the results of its activities to the service delivery group(s) via an automated or web-based system?	
<b>Total Scoring Service Quality Assurance</b>	

**Interpretation of Scoring:**

**20-24**= *Consistent* approach to Service Quality Assurance

**12-23**= *Inconsistent* approach Service Quality Assurance

**Under 12**= *No organized approach* to Service Quality Assurance

### III. KPA Summary Evaluations

Record your total scores for each KPA in the table below:

Process Area: Total KPAs	Score	Benchmark Score	KPA Deficient
1. Service Commitment Planning		15 - 21	<input type="checkbox"/>
2. Service Delivery Planning		25 - 30	<input type="checkbox"/>
3. Service Tracking and Oversight		40 - 48	<input type="checkbox"/>
4. Subcontract Management		42 - 51	<input type="checkbox"/>
5. Configuration Management		35 - 52	<input type="checkbox"/>
6. Event Management		25 - 30	<input type="checkbox"/>
7. Service Quality Assurance		20 - 24	<input type="checkbox"/>
<b>Total Scoring Repeatable KPAs</b>		<b>205 - 246</b>	<input type="checkbox"/>

**Interpretation of Scoring:**

**205-246=** *Consistent* approach to Service Quality Assurance

**123-204=** *Inconsistent* approach Service Quality Assurance

**Under 123=** *No organized approach* to Service Quality Assurance

Assess the KPAs that scored below the consistent benchmark, and highlight them for review. In the next section on figuring the business value of KPA improvements, apply the questions only to KPAs that scored below the benchmarks.

## IV. Business Value Estimation of More Consistent KPAs

If your company scored in the under 200 range, changes are good that the organization could benefit by an improved approach to the repeatable KPAs that are detailed above.

In order to illustrate the value of what improved IT processes could bring to the business, it is helpful to estimate what these inefficiencies are currently costing the business. This section is meant to assist in that exercise.

Examine your scores in each of the KPA/functional areas that are detailed above. Focus on those in which IT's approach was inconsistent, or below, and answer these questions for each KPA:

- ❖ Have revenues been affected by poor functioning of this KPA? (Consider how your delivery, tracking and quality of service has affected not only each internal line of business, but how it has affected the business's external customers.)
  - List any specific LOBs and affected revenues.
  - Can example(s) be cited with supporting numbers?
  - Have any new business opportunities (lost opportunities) been affected, and if so, how, and to what extent? (Site lost revenue if possible.)
- ❖ Have labor costs and efficiencies been impacted by this KPA? (Consider how documentation, tracking and automation tools can improve labor efficiency, or current staffing levels.)
  - Estimate % of IT labor affected and apply to labor costs.
  - Estimate % of LOB labor affected and apply to labor costs.
  - If labor costs are not an effective method of calculation for the organization, estimate how staffing, personnel and morale are affected.
  - Cite example(s) with supporting numbers if possible.
- ❖ Have unnecessary risks been incurred by the business as a result of this KPA?
  - Detail the risks and their potential cost to the business.
  - Calculate the % that risk could be reduced by an improved KPA, and apply that % to the potential cost of the risk to the business.
- ❖ Have their been redundant, inflated or unnecessary materials/technology costs to the business as a result of this KPA?
  - Detail any product or technology expenditures that could have been reduced, discounted or contract-managed to save money and gain more product and technology value for the business.
  - Cite example(s) with supporting numbers.

Estimate Business Value of Inconsistent KPAs	Estimations
<p>1. <i>Estimate all revenues affected by inconsistent KPAs:</i></p> <ul style="list-style-type: none"> <li>▪ LOB revenues:</li>   <li>▪ Source of revenues:</li>   <li>▪ KPAs involved:</li>   <li>▪ % applied to revenues and rationale:</li>   <li>▪ Lost revenue potential and rationale:</li>   <li>▪ Cite example(s):</li> </ul> <p>2. <i>Estimate labor costs and efficiencies affected by inconsistent KPAs:</i></p> <ul style="list-style-type: none"> <li>▪ IT labor:</li>   <li>▪ LOB labor:</li>   <li>▪ % affected and rationale</li>   <li>▪ % applied to revenues and rationale:</li>   <li>▪ Affects on staffing/morale:</li> </ul>	

3. *Estimate how inconsistent KPAs have caused the business to incur unnecessary risks:*

- Cite examples of specific risks incurred by the business by inconsistent KPAs:
  
- Apply dollars to the risk, if possible:
  
- Estimate the % that risk could be mitigated by improved KPA:
  
- Apply % to risk dollars:
  
- Affects on staffing/morale:

4. *Estimate how redundant, inflated or unnecessary materials/technology costs have been incurred by the business as a result of the inconsistency of this KPA?*

- List product or technology expenditures that could have been reduced, discounted or contract-managed to save money or increase value.
  
- Cite example(s).