IT Service CMM Questionnaire*

Frank Niessink

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Identification Participant

Name:

Team, Role:

Tel:

Date:

Contents

1 Introduction

This document contains questions on the performance of IT service related processes in your organization. This questionnaire is based on the IT Service Capability Maturity Model (version L2-1.0). Refer to section 3 for a short introduction of the IT Service CMM.

The questions are organized in sections, according to the key process areas present in the IT Service CMM. Each section contains a short overview of the purpose of each key process area. Unless stated otherwise, you are expected to fill in the questions based on your personal experience and knowledge; you are not expected to look up the answers. Your answers will be used by the assessment team to conduct the process assessment and are treated confidentially.

2 Instructions

The questionnaire has been divided in a number of sections. Each section covers one of the key process areas of the IT Service CMM. Questions can be answered by marking one of the possible answers. In addition, you are asked to provide motivation for your answer. The following answers are possible:

1. Answer **Yes always** if:

   - The activity is (almost) always performed. If you answer **Yes always** please indicate which role or function is responsible for conducting the activity.

2. Answer **Not always** if:

   - The activity is performed sometimes, or not completely. The activity may be performed, but not according to a documented procedure, or may be omitted under difficult circumstances. Please indicate why the activity is not consistently performed.

3. Answer **Never** if:

   - The activity is never or hardly ever performed.

4. Answer **Don't know** if:

   - You are unsure what the activity entails, or you you have insufficient knowledge to answer the question.

The assessment team may have asked you to fill in the questions for certain key process areas (for example, Event Management and Configuration Management). In that case, do not answer the questions for other key process areas.

3   Overview of the IT Service CMM

The objective of the IT Service CMM is twofold:

- to enable IT service providers to assess their capabilities with respect to the delivery of IT services, and,

- to provide IT service providers with directions and steps for further improvement of their service capability.

The IT Service CMM aims to fulfill these goals by measuring the capability of the IT service processes of organizations on a five level ordinal scale. Each level prescribes certain key processes that have to be in place before an organization resides on that level. Key processes implement a set of related activities that, when performed collectively, achieve a set of goals considered important for enhancing service process capability. Hence, organizations can improve their service capability by implementing these key processes.

We measure the service process maturity of organizations on a five level ordinal scale. The first – initial – level has no associated key process areas. This is the level where all IT service organizations reside that have not implemented the level two key process areas. Level two is the repeatable level. Organizations that have reached level two will be able to repeat earlier successes in similar circumstances. Thus the emphasis of level two is on getting the IT services right for one customer. On level three, the defined level, the service organization has defined its processes and is using tailored versions of these standard processes to deliver the services. By using common organization-wide standard processes, the process capability to deliver services consistently is improved. At level four, the managed level, organizations gain quantitative insight into their service processes and service quality. By using measurements and an organization-wide measurement database organizations are able to set and achieve quantitative quality goals. Finally, at level five, the optimizing level, the entire organization is focused on continuous process and service improvement. Using the quantitative measurements the organization prevents problems from recurring by changing the processes. The organization is able to introduce new technologies and services into the organization in an orderly manner.

This questionnaire covers the second, repeatable level. On the second level, the IT Service CMM contains seven key process areas. Four management process areas and three support process areas. The management processes are:

- Service Commitment Management: 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 service needs are reviewed with the customer on a regular basis. When necessary, the service level agreement is adjusted.

- Service Delivery Planning: The service delivery is planned in order to ensure 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.

- Service Tracking and Oversight: Service delivery is being tracked. The realized service levels are compared with the specified service levels and are reported to the customer and management on a regular basis. Corrective actions are taken when actual service delivery deviates from the specified service levels.

- Subcontract Management: Select qualified IT subcontractors and manage them effectively.

The support processes are:

- Configuration Management: The integrity of products which are subject to or part of the IT services is established and maintained.

- Event Management: Events regarding the service are identified, registered, tracked, analyzed, and resolved. The status of events is communicated with the customer and reported to management.

- Service Quality Assurance: Management is provided with the appropriate visibility into the processes being used and the services being delivered.

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IT service providers can use this model to assess their maturity by comparing their organization with the IT Service CMM. Such a comparison is done by means of an assessment, of which this questionnaire is a part.

4 Service Commitment Management

Ther purpose of Service Commitment Management is 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 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.

IT service needs The IT services the customer needs in order to make optimal use of its information technology.

Service commitments The agreement between customer and service provider about the services to deliver, the quality levels, schedule, conditions, evaluation, etc.

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1. Are the IT service needs of the customer identified according to a documented procedure?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

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2. Are the IT service needs of the customer documented?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

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3. Are the service commitments documented?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

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4. Are the service commitments evaluated with the customer on both a periodic and an event-driven basis?

○ Yes always, by :

○ Not always, because:

○ Never, because:

○ Don't know, because:

5. Is the actual service delivery evaluated with the customer on both a periodic and an event-driven basis?

○ Yes always, by :

○ Not always, because:

○ Never, because:

○ Don't know, because:

5   Service Delivery Planning

The service delivery is planned in order to ensure 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.

Service delivery plan 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; and plans for necessary facilities and tools.

Service delivery activities 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, etc.

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1. Is the service delivery plan developed according to a documented procedure?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

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2. Is the service delivery plan documented?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

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3. Are the service delivery activities to be performed identified and planned according to a documented procedure?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

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4. Are software and hardware products that are needed to establish and maintain control of the service delivery identified?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

5. Are estimates for the service delivery workload derived according to a documented procedure?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

6. Are estimates for the service delivery effort and costs derived according to a documented procedure?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

7. Is the service delivery schedule derived according to a documented procedure?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

8. Are the risks associated with the cost, resource, schedule and technical aspects of the service identified, assessed, and documented?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

9. Are plans prepared for the service facilities and support tools?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

10. Are service planning data recorded?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

6 Service Tracking and Oversight

Service delivery is being tracked. The realized service levels are compared with the specified service levels and are reported to the customer and management on a regular basis. Corrective actions are taken when actual service delivery deviates from the specified service levels.

The service provider reports to the customer the actual services delivered, the actual service levels, and, when relevant, calamities that hindered accurate service delivery. The service level reports are used as input for the evaluation of service level agreements.

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1. Is a documented service delivery plan used for tracking the service delivery activities and communicating status?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

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2. Is the service delivery plan revised according to a documented procedure?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

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3. Are approved changes to the service delivery plan communicated to the members of the service delivery group and other related groups?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

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4. Are actual service levels tracked against the specified service levels, and are corrective actions taken as necessary?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

5. Is the service delivery workload tracked, and are corrective actions taken as necessary?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

6. Are the service delivery activities' costs and effort tracked, and are corrective actions taken as necessary?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

7. Are the service facilities tracked, and are corrective actions taken as necessary?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

8. Is the service delivery schedule tracked, and are corrective actions taken as necessary?

○ Yes always, by :

○ Not always, because:

○ Never, because:

○ Don't know, because:

9. Are the service delivery activities tracked, and are corrective actions taken as necessary?

○ Yes always, by :

○ Not always, because:

○ Never, because:

○ Don't know, because:

10. Are the service delivery risks associated with cost, resource, schedule and technical aspects of the services tracked?

○ Yes always, by :

○ Not always, because:

○ Never, because:

○ Don't know, because:

11. Are actual measurement data and replanning data for the service recorded and made available?

○ Yes always, by :

○ Not always, because:

○ Never, because:

○ Don't know, because:

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?

○ Yes always, by :

○ Not always, because:

○ Never, because:

○ Don't know, because:

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?

○ Yes always, by :

○ Not always, because:

○ Never, because:

○ Don't know, because:

14. Are formal reviews conducted internally to address the accomplishments and results of the services at selected moments according to a documented procedure?

○ Yes always, by :

○ Not always, because:

○ Never, because:

○ Don't know, because:

7 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.

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1. Is the service to be subcontracted specified and planned according to a documented procedure?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

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2. Is the subcontractor selected, based on an evaluation of the subcontract bidders' ability to deliver the service, according to a documented procedure?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

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3. Is the contractual agreement between the prime contractor and the subcontractor used as the basis for managing the subcontract?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

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4. Is the documented subcontractor's service delivery plan reviewed and approved by the prime contractor?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

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5. Is the documented and approved subcontractor's service delivery plan used for tracking the service activities and for communicating status?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

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6. Are changes to the subcontractor's service commitments, service delivery plan, and other commitments resolved according to a documented procedure?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

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7. Are subcontract service commitments evaluated with the subcontractor on both a periodic and an event-driven basis?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

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8. Is actual service delivery of the subcontracted services evaluated with the subcontractor on both a periodic and an event-driven basis?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

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?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

10. Does the prime contractor's service quality assurance group monitor the subcontractor's service quality assurance activities according to a documented procedure?

    ○ Yes always, by :

    ○ Not always, because:

    ○ Never, because:

    ○ Don't know, because:

11. Does the prime contractor's configuration management group monitor the subcontractor's configuration management activities according to a documented procedure?

    ○ Yes always, by :

    ○ Not always, because:

    ○ Never, because:

    ○ Don't know, because:

12. Does the prime contractor's event management group monitor the subcontractor's event management activities according to a documented procedure?

○ Yes always, by :

○ Not always, because:

○ Never, because:

○ Don't know, because:

8 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.

Configuration management plan 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.

Configuration baseline The configuration that is currently in use.

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1. Is a configuration management plan prepared for each service according to a documented procedure?

   ◯ Yes always, by :

   ◯ Not always, because:

   ◯ Never, because:

   ◯ Don't know, because:

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2. Is a documented and approved configuration management plan used as the basis for performing the configuration management activities?

   ◯ Yes always, by :

   ◯ Not always, because:

   ◯ Never, because:

   ◯ Don't know, because:

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3. Is a configuration management library system established as a repository for the configuration baselines?

   ◯ Yes always, by :

   ◯ Not always, because:

   ◯ Never, because:

   ◯ Don't know, because:

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4. Are the products to be placed under configuration management identified?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

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5. Are action items for all configuration items/units initiated, recorded, reviewed, approved, and tracked to closure according to a documented procedure?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

---

6. Are changes to configuration baselines controlled according to a documented procedure?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

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7. Are (software) products from the configuration baseline created and released according to a documented procedure?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

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8. Is the status of configuration items/units recorded according to a documented procedure?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

9. Are standard reports documenting the configuration management activities and the contents of the configuration baselines developed and made available to affected groups and individuals?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

10. Are configuration baseline audits conducted according to a documentedprocedure?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

9   Event Management

The prupose 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. For example, 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 if it is not restarted quick enough.

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.

Event management plan 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).

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1. Is an event management plan prepared for each service according to a documented procedure?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

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2. Is the documented and approved event management plan used as the basis for performing the event management activities?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

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3. Is an event management library system established as a repository for the event records?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

4. Are events identified, recorded, analyzed, reviewed, and resolved according to a documented procedure?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

5. Are affected groups and individuals informed of the status of events on both a periodic and event-driven basis?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

6. Are standard reports documenting the event management activities and the contents of the event repository developed and made available to affected groups and individuals?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

7. Are event repository audits conducted according to a documented procedure?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

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10 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. Note that where Service Tracking and Oversight is concerned with measuring service quality in retrospect, from an external point of view, Service Quality Assurance is concerned with measuring quality in advance, from an internal point of view.

Service quality assurance plan 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, the SQA group's participation in establishing the service delivery plan, standards, and procedures for the service delivery, and evaluations to be performed by the SQA group.

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1. Is a SQA plan prepared for the service delivery according to a documented procedure?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

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2. Are the SQA group's activities performed in accordance with the SQA plan?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

---

3. Does the SQA group participate in the preparation and review of the service commitments and service delivery planning, standards and procedures?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

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4. Does the SQA group audit the service delivery activities to verify compliance?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

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5. Does the SQA group periodically report the results of its activities to the service delivery group(s)?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

---

6. Are deviations, identified in the service activities and delivered service, documented and handled according to a documented procedure?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because:

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7. Does the SQA group conduct periodic reviews of its activities and findings with the customer's SQA personnel, as appropriate?

   ○ Yes always, by :

   ○ Not always, because:

   ○ Never, because:

   ○ Don't know, because: