[organization logo]

[organization name]

SERVICE MANAGEMENT SYSTEM (SMS) PLAN

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Approved by:	
Confidentiality level:	

Change history

Date	Version	Created by	Description of change
xx/xx/2013	0.1	Branimir Valentic	Basic document template

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1. Purpose, scope and users

The aim of this document is to define the scope, requirements and resources needed to run the services.

This document is applied to the entire Service Management System (SMS).

Users of this document are all employees of [organization name] who are within the scope of the SMS, as well as all external parties who have a role in the SMS.

2. Reference documents

- ISO/IEC 20000-1:2011, clauses 4.1.1: 4.1.4; 4.2., 4.4.1, 4.4.2, 4.5.1., 4.5.2, 4.5.3.
- SMS Policy
- Communication Procedure
- Procedure for Internal Audit
- Management Review Minutes
- Service Catalogue Management Process
- Business Relationship Management Process
- Capacity Management Process
- IT Service Continuity Management Process
- Service Level Management Process
- Financial Management Process
- Supplier Management Process
- Design and Transition of New or Changed Services Process
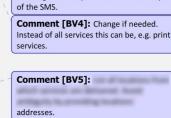
3. Service Management Plan

3.1 Scope

The scope of the SMS encompasses the whole organization and its services (see Service Catalogue in Appendix of Service Catalogue Management Process) of [organization name].

Items being considered for the scope of the SMS are location, customers, customer location and technology.

3.1.1. Location

The following locations of [organization name] are within the scope of the SMS:

[Location]

Comment [BV3]: Change if needed. This can be, e.g. only one organizational unit inside the organization like IT department name. If only one department is in the scope of SMS, you can include the organizational plan of the company clearly showing which department is in the scope of the SMS.

Comment [BV4]: Change if needed. Instead of all services this can be, e.g. print services.

Comment [BV5]: List all locations from which services are delivered. Avoid ambiguity by providing location/ addresses.

3.1.2. Customers

The scope of the SMS encompasses all customers which are using services provided by [part of the organization which is in scope]. A list of the customers can be found in the Business Relationship Management Process.

3.1.3. Technology

All the Technologies that provide support to the SMS services are also within the scope of the SMS.

3.2 Objectives

General objectives of the service management system are:
- Providing excellence in operational management of IT services
- Demonstrating ability to provide services that meet customers' requirements
- Monitoring and improving the quality of services provided

3.3 Service requirements

[Service Level Manager] is responsible to document and maintain customer service requirements in Service Level Requirements (see Service Level Management Process). In addition to defined service requirements, services within the scope of the SMS must comply with other management systems of [organization name]:
- [Quality Management System]
- [Information Security Management System]
- […]

3.4 Limitations

The following limitations impact the SMS:
List all known limitations.

3.5 Policies, standards, statutory and regulatory requirements and contractual obligations

The SMS plan must reference with the following policies, standards and requirements:
- List of policies
  - [list]
- List of standards
  - [list]
- List of statutory and regulatory requirements
  - [list]
- List of contractual obligations
  - [see Customer Agreement Portfolio in Appendix of Service Level Management Process]

3.6 Management roles, authorities and responsibilities

Frameworks of authorities, ~~responsibilities and process roles are defined in the~~ process documents.

Authorities and responsibilities for ~~service management processes and plans are defined~~ in the process documents themselves.

Authorities and ~~responsibilities for services are defined in the~~ List of Services (see List of Services in Appendix).

3.7 Resources necessary to achieve the service management objectives

Process documents ~~within the scope of the SMS define resources that~~ are required. Additionally, to define, ~~implement and maintain the SMS, the following~~ human resources are needed:

Role	Description
[role description]	• Establish and communicate the scope, policy and objectives for service management • ~~communicate the importance of fulfilling service requirements as well as statutory and regulatory requirements and contractual obligations~~ • ensure the provision of resources • conduct management review [once a year] • ~~ensure that risks to services are assessed and managed~~ • ~~communicate how established SMS is aligned with business objectives and customer requirements~~ • ensure that service management authorities and responsibilities are defined and ~~maintained (see section "Roles and responsibilities" in process documents)~~ • ~~ensure that documented procedure for communication is established and implemented~~ • ~~approve information security policy~~ • appoint Management representative
[role description]	• ensure that activities are performed to identify, document and fulfill service requirements • ~~assign authorities and responsibilities for ensuring that service management processes are designed, implemented and improved in accordance with the policy~~ and objectives for service management • ensure that service management processes are integrated with the other components of the SMS • ~~ensure that assets, including licenses, used to deliver services are managed according to statutory and regulatory requirements and contractual obligations~~ • report to Top Management on the performance and opportunities for improvement of the SMS and the services by delivering inputs to Management ~~Review Meeting, see Management Review Minutes~~ • ~~coordinate, with process managers, definition of the necessary competences for~~ personnel • assess and evaluate resources which are needed to achieve objectives of service management • ~~ensure that personnel are aware of how they contribute to the achievement of service management objectives and the fulfillment of service requirements~~ • check and protect against possible conflicts of interest among the processes within the scope of the SMS
[role description]	• ensure that training or other actions to achieve the necessary competence is carried out (see Appendix Training and Awareness Plan) • ~~evaluate the effectiveness of actions taken~~ • ~~assist the Top Management while ensuring that personnel~~ are aware of how they contribute to the achievement of service management objectives and the

	fulfillment of service requirements • maintain appropriate records of education, training, skills and experience

Competency requirements for ~~roles within the scope of the SMS are defined by~~ [Process Manager of particular process in scope of SMS].

Technical resources needed to support the SMS are defined in the Capacity Plan (see Capacity Plan in Appendix of Capacity Management Process).

Financial resources needed to ~~support the SMS are defined in the scope of the~~ Financial Management Process.

Informational resources ~~needed to support the SMS are defined in SMS documents~~ and records.

3.8 Process interfaces

Interfaces, which include type, ~~method and frequency of information exchanged between processes~~ within the scope of the SMS are described in process documents and process activities.

The interfaces and integration between SMS processes and other components of the SMS are ~~described in each process document by defining which outputs are created and which inputs are~~ used.

3.9 Processes operated by other parties

The following processes or parts of the processes are operated by other parties:

Process	~~Other party~~	Relationship defined in document
[Incident Management]	[~~company name~~]	[contract name]
[Budgeting and accounting]	[~~corporate finance~~ department]	[OLA ~~document name~~]

Suppliers which operate parts of the process are ~~managed by the Supplier Management~~ process (see Supplier Management Process). Internal groups or customers which operate parts of the process are ~~managed by the Service Level Management process~~ (see Service Level Management Process).

In any case where processes or parts of the processes are operated by third parties, [organization name] retains governance of those processes by demonstrating:
• Accountability for the processes and authority to require adherence to the processes
• ~~Control of the definition of the process, and interfaces to other processes~~
• ~~Determination of process performance and compliance with process requirements~~
• Control of the planning and prioritizing of process improvements

Process managers for processes (or of which parts of processes) are operated by a third party are ~~responsible to demonstrate governance by providing documents and records such as contracts (Operating Level Agreements for internal parties and Underpinning Contract for external parties,~~ Minutes of Meeting, Supplier Performance Reports (see Supplier Performance Report in Appendix of Supplier Management Process) and procedure description(s).

3.10 Risk Management

[role description] is responsible to identify risks and fill in Risk Assessment and Treatment (see Risk Assessment and Treatment in Appendix of IT Service Continuity Management). Risk level is calculated according to the agreed methodology.

Risk acceptance criteria - Values █, █ and █ indicate acceptable risks, while values █ and █ indicate unacceptable risks. Unacceptable risks must be treated. Treatment measures are entered in Risk Assessment and Treatment in Appendix of IT Service Continuity Management Process.

3.11   Internal Audit

Internal audit is described in Procedure for Internal Audit, see Procedure for Internal Audit in Internal Audit.

3.12   Technology support

[organization name] uses [tool name] to support the SMS.

3.13   Measurement and reporting

The effectiveness of the SMS is measured:
- on a process level
- by internal audit (see Internal Audit Report in Appendix of Internal Audit)
- by external audit
- by Management Review of SMS goals achievement

Every process within the scope of the SMS has defined Key Performance Indicators (KPI) and Critical Success Factors (CSF). Responsibility to define KPIs and CSFs for processes within the scope of the SMS is defined in the process itself.

Process Managers are responsible for ensuring that measurements inside processes under their responsibility are carried out and prepare reports.

[Process Managers] are responsible to produce Reports – see Service Report in Appendix of Service level management Process, Internal Audit Report and Training and Awareness Plan in Appendix, as well as "Measurement and metrics" section in the scope of every SMS process.

Process Managers are responsible to make decisions and take actions based on the findings in the service reports. The agreed actions shall be communicated to everyone involved in the measured process, i.e. activity.

3.14   Management review

[Top Management] organizes management review meetings [once a year] to check ability of the SMS and the services to achieve service management objectives and fulfil service requirements. [SMS Manager] records Management Review Minutes.

3.15   Changes

Changes to the SMS are initiated by [SMS Manager], approved by [Top management], and carried out through the Change Management Process.

4. Validity and document management

This document is valid as of [date].

Owner of this document is [job title], who must check and, if necessary, update the document at least once a year. Before review of this plan, plans for processes within the scope of the SMS must be reviewed by [SMS Manager].

Comment [BV23]: Appropriate role in top management.

Comment [BV24]: This is only a recommendation; adjust frequency as appropriate.

5. Appendices

- Appendix 1: List of Services
- Appendix 2: Training and Awareness Plan

[job title]

[name]

_____

[signature]

Comment [BV25]: Only necessary if the Procedure for Document Control prescribes that paper documents must be signed.