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**Process indicators and metrics**

**Customer**

**Approval sheet**

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**Annotation**

This document describes the metrics and indicators of the Customer's IT Governance processes.

The main metrics and indicators cover the following IT governance processes:

* User Support (SD) process;
* Service request management (REQ) process;
* Incident management process (INC);
* Knowledge management (KNL) process;
* Service level management (SLM) process;
* Service catalog management (SCM) process;
* Change management (CHG) process;
* Configuration management process (CFG).

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**Terms and abbreviations used in the document**

| **Terms and abbreviations** | **Description** |
| --- | --- |
| ADS | Automated Document System |
| Request | A request registered in the Automation System. A request may be further reclassified as a Service Request or an Incident |
| Change Request (CR) | A request to add, modify or delete something that may affect the service |
| Service Request | A request from a user to support the operation of a service, information, advice or documentation that is not an error in the IT infrastructure |
| Incident | An event that is not part of the normal operation of a service that leads to/could lead to service interruption or degradation of the service |
| Service Catalog | A structured document containing information about services |
| Company | Customer |
| Metric | Process characteristic to be measured |
| User Support | A function aimed at maintaining the operability and quality of the provided services. |
| User | Employee of a legal entity with whom SLA is concluded, or Customer's specialist |
| Automation System (SD) | Corporate IT process automation system (incident management, service request management, knowledge management, service level management, service catalog) based on \_\_\_\_\_\_\_\_ Service Desk (NSD) product. |
| User support service | Single point of contact between service provider and users |
| Service Level Agreement (SLA) | A formal agreement between service recipients and IT departments. It regulates the normative timeframes for processing requests by IT departments |
| Service | Actions or opportunities provided by the Company for Users, the provision of which requires various kinds of support (technical, consulting, etc.). A service, the provision of which involves certain elements of the IT infrastructure. A set of functional capabilities provided by IT systems |
| Database | A database that stores Database Articles divided into Knowledge Areas. This database is used as the main tool in the knowledge management process. |
| Knowledge Area (about a service) | A section of the Database dedicated to one service or a group of similar services. |
| Database item ( Item) | The main object of the Database, which includes information about an event or situation and a description of a possible way to respond to this event or situation. |
| Service Catalog | A structured document containing information about the services provided by the Company. |

1. **General information**
   1. **Document modification history**

| Version | Date | Author | Comment |
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* 1. **Objectives of the document**

The main purpose of this document is to describe indicators and metrics to monitor the following IT governance processes:

* User Support (SD) process;
* Service request management process (REQ);
* Incident management process (INC);
* Knowledge management (KNL) process;
* Service level management (SLM) process;
* Service catalog management (SCM) process;
* Change management (CHG) process;
* Configuration management process (CFG).
  1. **Scope of the document**

The scope of this document relates to controlling the effectiveness of IT governance processes and controlling the delivery and assurance of quality services.

1. **Management process objectives and metrics**

This section provides management process objectives and metrics by which their achievement can be monitored.

Metrics related to questionnaires are calculated as part of the User Support Process by 1st Line Support staff based on questions prepared by the Process Managers responsible for these metrics.

* 1. **SD User Support Process**

**Table 2-1 User Support Process Objectives and Metrics**

| № | Objective | Metric |
| --- | --- | --- |
| 1. | Provide user support that meets contractual and organizational requirements | * M-SD1. Compliance with response time SLA |
| 2. | Ensuring timely and effective interaction with service users | * M-SD2. Percentage of requests registered by users via web-interface * M-SD3. Average response time of the 1st support line |
| 3. | Increasing user satisfaction with the work of IT departments based on the results of fulfillment of requests | * M-SD4. Level of User satisfaction with fulfillment of requests * M-SD5. Percentage of requests evaluated by users according to their satisfaction level with their fulfillment * M-SD6. Overall level of satisfaction of Users |

**Table 2-2 Rules for calculating user support process metrics**

| № | Name of metric | Calculation rules | Target value | Information source | Regularity |
| --- | --- | --- | --- | --- | --- |
| M-SD1 | Compliance with response time SLA | Correlation between the number of requests with response time SLA compliance and the total number of requests | At least 95% | Automation system, reporting form | Weekly |
| M-SD2 | Percentage of requests registered by users via web-interface | Correlation between the number of requests logged through the web interface and the total number of requests | At least 10% | Automation system, reporting form | Monthly |
| M-SD3 | Average response time of the 1st support line | Average time to process requests before transferring them to the next support lines | Less than 30 minutes | Automation system, reporting form | Daily |
| M-SD4 | User satisfaction level with fulfillment of requests | Arithmetic average of requests with a user rating | 4.5 out of 5 | Automation system, reporting form | Monthly |
| M-SD5 | Percentage of requests evaluated by users according to the level of satisfaction with their fulfillment | Correlation between the number of requests rated by users and the total number of requests | At least 30% | Automation system, reporting form | Monthly |
| M-SD6 | Overall level of User satisfaction | Arithmetic mean of the evaluations received | 4.5 out of 5 | Sample questionnaire survey of Users (see  Appendix 1. General level of User satisfaction) | Annually |

* 1. **REQ Service Request Management Process**

**Table 2-3 Objectives and metrics for the service request management process**

| № | Objective | Metric |
| --- | --- | --- |
| 1. | Ensure high quality and fast processing of User requests | * M-REQ1. Percentage of requests resolved within the timeframe set by the SLA * M-REQ2. Percentage of requests correctly routed |
| 2. | Increased transparency of IT departments' work for Service Users | * M-SD6. Overall level of User satisfaction (see User Support Regulations) |
| 3. | Improved controllability and transparency of IT units' work for management | * M-REQ3. Assessment of controllability and transparency of the Process |
| 4. | Improved User satisfaction with IT operations | * M-REQ4. Percentage of requests with renewal |

**Table 2-4 Calculation rules for service request management process metrics**

| № | Name of metric | Calculation rules | Target value | Information source | Regularity |
| --- | --- | --- | --- | --- | --- |
| M-REQ1 | Percentage of requests resolved within the timeframe set by SLA | Correlation between the number of requests resolved on time to the total number of requests | At least 95% | Automation system, reporting form | Monthly |
| M-REQ2 | Percentage of correctly routed requests | Correlation between the number of requests not exceeding 4 reassignments of groups and the total number of requests. | At least 95% | Automation system, reporting form | Monthly |
| M-REQ3 | Assessment of Process controllability and transparency | Arithmetic average of the obtained estimates | 4.5 out of 5 | Individual questionnaire survey of the Process Manager (see Appendix 2: Process Controllability and Transparency Assessment) | Annually |
| M-REQ4 | Percentage of requests with renewal | Correlation between the number of Requests with renewal, to all Requests | No more than 5% | Automation system, reporting form | Monthly |

* 1. **INC Incident Management Process**

**Table 2-5 Incident Management Process Objectives and Metrics**

| № | Objective | Metric |
| --- | --- | --- |
| 1. | Early resumption of service delivery | * M-INC1. Percentage of incidents resolved within the timeframe set by the SLA * M-INC2. Percentage of incidents correctly routed |
| 2. | Reduction of negative impact of incidents on the Company's business processes | * M-INC3. Total impact of incidents on the Company's business processes |
| 3. | Increased transparency of IT departments' work for Service Users | * M-SD4. Level of satisfaction of Users with fulfillment of requests * M-SD6. Overall level of satisfaction of Users |
| 4. | Improved controllability and transparency of IT units' work for management | * M-INC4. Assessment of controllability and transparency of the Process |
| 5. | Increase in User satisfaction with the work of IT departments | * M-INC5. Percentage of incidents resolved at the first attempt |

**Table 2-6 Rules for calculating incident management process metrics**

| № | Name of metric | Calculation rules | Target value | Information source | Regularity |
| --- | --- | --- | --- | --- | --- |
| M-INC1 | Percentage of incidents resolved within SLA deadline | Correlation between the number of incidents resolved on time and the total number of incidents | At least 95% | Automation system, reporting form | Monthly |
| M-INC2 | Percentage of correctly routed incidents | Correlation between the number of incidents not exceeding 4 group reassignments and the total number of incidents | At least 95% | Automation system, reporting form | Monthly |
| M-INC3 | Total impact of incidents on the Company's business processes | Trend of the total impact of incidents for services in commercial operation. The analysis of the total impact of incidents for the period is performed by summing up all impact indicators for all incidents registered in the reporting period. Incident impact is calculated in impact scores and is provided in the Service Level Agreement (SLA) document. | Decrease in the indicator relative to the previous period | Automation system, reporting form | Monthly |
| M-INC4 | Assessment of controllability and transparency of IT departments' work for management | Yes or No scores for the list of questions. The arithmetic mean of the scores obtained | 4.5 out of 5 | Individual questionnaire survey of the Process Manager (see  Appendix 2: Process Controllability and Transparency Assessment) | Annually |
| M-INC5 | Percentage of incidents with resumption | Correlation between the number of Incidents with resumption, to all Incidents | No more than 5% | Automation system, reporting form | Monthly |

* 1. **KNL Knowledge Management Process**

**Table 2-7 Objectives and metrics of the knowledge management process**

| № | Objective | Metric |
| --- | --- | --- |
| 1 | Increase in the speed of execution of Requests due to successful application of Database Articles | * M-KNL1 Number of successful applications of Database Articles |
| * M-KNL2 Correlation of successfully applied Database Articles to the sum of successfully and unsuccessfully applied Articles. |
| 2 | Distribution of knowledge to all employees | * M-KNL3 Distribution of Database Articles by services |
| 3 | Adaptation of new employees | * M-KNL4 Successful use of Database Articles by new employees |
| 4 | Increased speed of fulfillment of Requests due to successful application of Database Articles | * M-KNL1 Number of successful applications of Database Articles |
| * M-KNL-2 Correlation of successfully applied Database Articles to unsuccessfully applied ones |
| 5 | Possibility of independent fulfillment of their Requests | * M-KNL5 Satisfaction of users regarding the possibility of independent fulfillment of their Requests |
| * M-KNL6 Number of successfully applied Articles for Users |
| 6 | Decrease in the number of Requests to specialists due to the fact that Users fulfill part of their Requests independently | * M-KNL6 Number of successfully applied Articles for Users |
| 7 | Simplicity of making Requests | * M-KNL7 Satisfaction of specialists with simplification of solving assigned Requests using Database articles |

**Table 2-8 Rules for calculating incident management process metrics**

| № | Metric Name | Calculation rules | Target value | Information source | Regularity |
| --- | --- | --- | --- | --- | --- |
| M-KNL1 | M-KNL1 Number of successful applications of Database Articles | Number of successfully applied articles. | Increase of the indicator compared to the previous period | Automation system | Monthly |
| M-KNL2 | Correlation of successfully applied Database Articles to the sum of successfully and unsuccessfully applied Articles | Correlation of successfully applied Database Articles to the sum of successfully and not successfully applied Articles. | At least 75% | Automation system | Monthly |
| M-KNL3 | Distribution of Database Articles by Service | Correlation of services for which the Knowledge Area is filled with operational, technical and other documents to the total number of services. | At least 80% | Automation system | Monthly |
| M-KNL4 | Successful use of Database Articles by new employees | Correlation of the number of employees, whose registration date in the System is less than 3 months, who successfully used the Articles for the period to the total number of employees, whose registration date in the System is less than 3 months. | At least 50% | Automation system | Monthly |
| M-KNL5 | Satisfaction of specialists with simplified solution of assigned Queries using Database Articles | Questioning of Service Specialists regarding their satisfaction with the simplification of solving assigned Requests using the Database Articles. | 4 out of 5 | Service Specialist Questionnaire. The Service Specialist survey questionnaire includes the question "How satisfied are you with the Database?". | According to the questionnaire procedure |
| M-KNL6 | Number of successfully applied Knowledge Base Articles for Users | Number of successfully applied Database Articles with the attribute "For independent use by the user". | Increase compared to the previous period | Automation system | Monthly |
| M-KNL7 | Satisfaction of specialists with simplified solution of assigned Queries using Database Articles | Questioning of Service Specialists regarding satisfaction with simplification of solution of assigned Requests with the use of Database Articles. |  |  |  |

* 1. **SLM Service Level Management Process**

**Table 2-9 Service Level Management Process Objectives and Metrics**

| № | Objective | Metric |
| --- | --- | --- |
| 1 | Ensure the quality of the change being implemented | * M-SLM1. The change was agreed upon within the specified timeframe * M-SLM2. The change achieved the expected results * M-SLM3. Changes are documented in the contract and automation system |
| 2 | Ensure that all changes are tracked | * M-SLM3. Changes are documented in the contract and automation system |

**Table 2-10 Rules for calculation of service level management process metrics**

| № | Name of metric | Calculation rules | Target value | Information source | Regularity |
| --- | --- | --- | --- | --- | --- |
| M-SLM1 | The change was agreed within the established timeframe | Correlation between the number of draft changes agreed within 5 working days and all agreed draft changes. | At least 80% | ADS, e-mail | Quarterly |
| M-SLM2 | The change has achieved the expected results | Percentage of changes for which the expected results were achieved | At least 90% | Automation system, receiving feedback, by questionnaire and/or survey of the User who initiated the change | Quarterly |
| M-SLM3 | The change is documented in the contract and automation system | Correlation of recorded changes to the total number of changes | 100% (all changes recorded) | Automation system, Contract, additional agreement to the Contract,ADS | Half-yearly |

* 1. **SCM Service Catalog Management Process**

**Table 2-11 Objectives and metrics of the service catalog management process**

| № | Objective | Metric |
| --- | --- | --- |
| 1 | To assure the quality of the changes being implemented | * M-SCM1. The change has been agreed within the timeframe * M-SCM2. The change has achieved the expected outcomes |
| 2 | Effective impact of the change made on service objectives | * M-SCM3. Relevance of the Service Catalog |

**Table 2-12 Calculation rules for service catalog management process metrics**

| № | Name of metric | Calculation rules | Target value | Information source | Regularity |
| --- | --- | --- | --- | --- | --- |
| M-SCM1 | The change was agreed within the established timeframe | Correlation between the number of draft changes agreed within 5 working days and all agreed draft changes. | At least 80% | Automation system | Quarterly |
| M-SCM2 | The change achieved the expected results | Percentage of changes for which the expected results were achieved to the total number of changes. | At least 90% | Automation system, receiving feedback, by questionnaire and/or polling the User who initiated the change. | Quarterly |
| M-SCM3 | Relevance of the service catalog | Correlation of the number of services with up-to-date parameters to the total number of services in the Service Catalog. Expert evaluation of the Service Catalog Manager | At least 95% | Automation system, receiving feedback by questioning and/or polling the Service Catalog Manager | Quarterly |

* 1. **CHG Change Management Process**

**Table 2-13 Objectives and metrics for the change management process**

| № | Objective | Metric |
| --- | --- | --- |
| 1 | Determine the quality of change planning and implementation. | * M-CHG1. Percentage of successfully implemented changes (changes that did not require a rollback plan). |
| 2 | Determine the extent to which the IT service meets Users' expectations. | * M- CHG2. Percentage of rejected CHGs (CHGs that did not pass any stage of approval). |
| 3 | Determine the level of interaction between Change Initiators and their managers. This indicator is important to assess the degree of understanding by Users of the information systems they work with. | * M-CHG3. Percentage of unauthorized CLIs (CLIs that did not pass initial authorization from the Initiator's manager). |
| 4 | Determine the extent to which the Process actually controls the IT infrastructure. | * M-CHG4 Percentage of changes bypassed by the Process. |
| 5 | Minimize the probability of unsuccessful deployment of changes in a productive environment. | * M-CHG5. Number of MNIs planned for deployment for a given time period by IT service. * M-CHG6. Number of SOMs planned for implementation over time by team. |
| 6 | Minimize risks to the IT infrastructure  Minimize the violation of the planned level of workload on Specialists. | * M-CHG7. Percentage of emergency changes. * Control time/resource costs of changes. |
| 7 | Optimize change planning. | * M-CHG8. Percentage of correctly planned changes by IT service. |

**Table 2-14 Rules for calculating change management process metrics**

| № | Name of metric | Calculation rules | Target value | Information source | Regularity |
| --- | --- | --- | --- | --- | --- |
| M-CHG1 | Percentage of successfully implemented changes (changes that did not require a rollback plan). | K=N1/Ncomm\*100%, where  N1 - number of requests with the attribute "Rollback plan required" equal to "No";  N total - the total number of requests registered in the system and having the status "Closed". | 90% | Automation system | Quarterly |
| M- CHG2 | Percentage of rejected ZNIs (ZNIs that did not pass any approval stage) | K=N1/Ncomm\*100%, where  N1 - number of requests with the attribute "Was rejected" equal to "No";  Nobshch - the total number of requests registered in the system and having the "Closed" status. | 90% | Automation system | Quarterly |
| M-CHG3 | Percentage of unauthorized SOMs (SOMs that did not pass initial authorization by the Initiator's manager). | K=N1/Ncomm\*100%, where  N1 - number of requests with the attribute "Authorized" equal to "No";  Nobshch - the total number of requests registered in the system and having the "Closed" status. | 90% | Automation system | Quarterly |
| M-CHG4 | Percentage of changes bypassing the Process. | K=N1/Ncomm\*100%, where  N1 - changes bypassed in the Process (equal to the number of incidents related to incorrect changes);  N total - total number of change requests registered in the system. | 0 | Automation system | Monthly |
| M-CHG5 | Number of SOMs planned for implementation for a certain period of time by IT services. | K=N(t1;t2), where  N(t1;t2) - number of requests related to the IT service and planned for implementation in the specified time intervals t1-t2; | 1 in 2 weeks | Automation system | Once in 2 weeks |
| M-CHG6 | Number of SOMs planned for implementation for a certain period of time in the context of teams. | K=N(t1;t2), where  N(t1;t2) - number of requests related to the department/team and planned for implementation in the specified time intervals t1-t2; | < number of team members | Automation system | Once in 2 weeks |
| M-CHG7 | Percentage of emergency changes. | K=N1/Ncomm\*100%, where  N1 - number of emergency STIs;  Nobshch - total number of requests registered in the system and having the status "Closed". | 10% | Automation system | Monthly |
| M-CHG8 | Percentage of correctly planned changes by IT services. | K=N1/Ncomm\*100%, where  N1 - number of changes, realization of which met the planned deadlines, resources;  N total - total number of requests registered in the system and having the status "Closed". | 100% | Automation system | Monthly |

* 1. **CFG Configuration Management Process**

**Table 2-15 Configuration management process objectives and metrics**

| № | Objective | Metric |
| --- | --- | --- |
| 1 | Identification of the need to optimize the CMDB classifie | * M-CFG1. Percentage of uncategorized KEs |

**Table 2-16 Calculation rules for configuration management process metrics**

| № | Name of metric | Calculation rules | Target value | Information source | Regularity |
| --- | --- | --- | --- | --- | --- |
| M-CFG1 | Percentage of uncategorized KEs | CFG5 = CFGother / CFGcomm \* 100%, where  CFGother - number of uncategorized KEs in the KDB;  CFG total - total number of KEs in the CBD 2% Automation system Monthly | 2% | Automation system | Monthly |

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**Appendix 1: General level of User satisfaction**

The main questions used to assess the level of User satisfaction:

1. How satisfied are you with the services provided?
2. How satisfied are you with the information about the services provided?
3. How satisfied are you with the ways of contacting the support service?
4. How satisfied are you with the information about the timeframe for fulfillment of the Request?
5. How satisfied are you with the information about the progress of the Request?
6. How satisfied are you with the quality of Request resolution?
7. How satisfied are you with the timeframe for resolving Requests?
8. How satisfied are you with the Database?

Questions are rated from 1 to 5, where:

5 - completely satisfied;

4 - rather satisfied;

3 - difficult to answer;

2 - rather unsatisfied;

1 - completely unsatisfied.

**Appendix 2: Assessing Process Controllability and Transparency**

Key questions used to assess the controllability and transparency of the process:

1. Availability of information on the progress of processing requests
2. Availability of information on requests with excessive lead time
3. Availability of information on renewed requests
4. Availability of information on requests that Users have used most frequently over the last month
5. Availability of information about those responsible for services on the IT side
6. Availability of information on quality parameters of provided services (SLA)
7. Availability of information about current requests in the specialist's responsibility

The questions are rated from 1 to 5, where:

5 - completely available;

4 - rather available;

3 - difficult to answer;

2 - rather not available;

1 - completely unavailable.