



March 20, 2007

## **Implementation Guidance Regarding ITIL®**

### **Version 3.0**

**By HDI SAB Task Force – members:**

**Laurie Gloge  
Brian Johnson  
Robert Minicozzi  
Jim Ryan  
Sandra Simpson  
Ron Muns**





## Table of Contents

Executive Summary .....	3
Objectives .....	4
Scope and Approach .....	5
Background.....	6
Findings and Observations.....	7
Conclusions, Recommendations, and Predictions .....	12



## Executive Summary

A number of organizations have begun IT process improvement projects using the Information Technology Infrastructure Library (ITIL®)<sup>1</sup> framework. A taskforce of the HDI® Strategic Advisory Board was created and has researched the implications of changes under development. This paper is intended to provide guidance to HDI members who are in the midst of, or are considering, IT process improvement project implementations based upon ITIL, and are asking questions about what these changes mean, and specifically how it impacts their current and future implementation plans.

The current version of ITIL is 2.0. It has been in circulation for approximately six years and is being updated under the guidance of the U.K. Office of Government Commerce (OGC). The updated or refreshed version of ITIL has been designated 3.0 and will maintain the basics of ITIL version 2.0 while expanding the current scope of ITIL. Five core books were authored by ten authors from IT service management vendor and ITSM consultancy organizations, and one from Carnegie Mellon University.

The ITIL-user community has faced time constraints in reviewing the ITIL V3.0 books. This limits the amount of public input, especially from the practitioners, which would have been appropriate.

We believe that IT organizations should continue IT process improvement programs based upon the current version of ITIL version 2.0 as well as continue with training based on ITIL version 2.0.

Most of our members surveyed were in the beginning stages of process adoption, mostly in the area of change management, incident and problem management, and service desk.

We believe ITIL 2.0 provides guidance and has been well adopted. We don't expect ITIL version 3.0 will bring about any changes that would impact process initiatives.

We believe that the changes to ITIL will open the doors to competitive guidance books. We believe more vendors will introduce their branded ITIL solutions based on their involvement in the authoring of ITIL version 3.0.

The principles of IT service management will continue to remain the same with very few visible changes over the next two years. Market acceptance will dictate the availability of ITIL version 3.0 books.

Multiple versions and the potential proliferation of proprietary vendor offerings will create confusion and illustrate a need for governance. This will create some political tension amongst the vendor community and communities like the IT Service Management forum, our own HDI community, and others who are dependent on vendors as partners.

While it is a risk that ITIL as we know it will perish, it is in the best interest of vendors and key industry members who have invested in ITIL as a standard, to maintain an industry accepted practice. As such, expect the practice of IT service management to remain the same. Adoption rates will not increase because of new material provided with the ITIL version 3.0 release, but in response to demand and acceptance of new business practices.

<sup>1</sup> ITIL® is a Registered Trade Mark, and a Registered Community Trade Mark of the Office of Government Commerce, and is Registered in the U.S. Patent and Trademark Office.



## Objectives

This paper is intended to provide guidance to HDI members who are in the midst of or are considering IT process improvement project implementations based upon ITIL, and are asking questions about what these changes mean and specifically how it impacts their current and future implementation plans.

Our objective for this paper is to help you answer the following questions:

1. Should IT organizations continue or wait on process improvement programs based upon ITIL until:
  - o The release of the ITIL version 3.0 books?
  - o The release of training and certification programs in support of ITIL version 3.0?
2. Should I wait on attending ITIL-based training until the ITIL version 3.0 path is better known?
3. Should IT organizations wait to build new processes based upon ITIL version 3.0 process frameworks?
4. How different will ITIL version 3.0 be from ITIL version 2.0?



## Scope and Approach

As part of our research, ITIL version 3.0 authors were interviewed and were reluctant to candidly share details about the project or content of the ITIL version 3.0 books for both professional and statutory reasons-non-disclosure agreements. After a few responses, it became clear that neither the task force members nor the authors were going to gain anything through the process of questioning for information about ITIL version 3.0. The team shifted focus and instead interviewed a sampling of key stakeholders involved or impacted by the ITIL version 3.0 release and reviewed the literature published by the OGC and others. Individuals were interviewed and documents were reviewed representing plans and decisions from the following organizations:

- EXIN and BCS (ISEB) – these are the two examination bodies located in the Netherlands and the UK respectively that for the last several years had responsibility for certifying individuals and trainers/training organizations/materials for the OGC on ITIL version 2.0. Recently rights to do similar certifications for ITIL version 3.0 were granted.
- Office of Government Commerce (OGC) UK government body that owns the ITIL materials.
- The Stationery Office (TSO), a private UK company and official publisher of ITIL books.
- Van Haren Publishing, global publisher of ITSM books and ITIL related materials.
- itSMF board members.
- ITPreneurs – leading provider of Web-based ITIL training.
- APM Group, a private UK company with the license from the OGC to manage individual certification programs for ITIL and to certify trainers/training organizations/training materials.



## Background

Over the past few years a developing focus on IT governance and process improvement for IT organizations has led to an increase in the number of process improvement projects in the area of IT Service Management (ITSM). A growing number of companies have made a commitment to improving ITSM processing using ITIL as guidance.

The ITIL material is owned by the UK Office of Government Commerce (OGC). ITIL is not prescriptive; it is a set of best practices that IT organizations can refer to when defining their IT service management processes. ITIL is credited with providing a common vocabulary for ITSM and has defined major processes and their relationships to one another. For further information on ITIL, visit [http://www.ogc.gov.uk/guidance\\_ital.asp](http://www.ogc.gov.uk/guidance_ital.asp).

In the year 2000, the CCTA (Central Computer and Telecommunications Agency, the precursor to the Office of Government Commerce—OGC) merged into the Office of the Government Commerce. The following year, version 2.0 of ITIL was released in a more concise set of nine books that are widely used today. ITIL is now the most widely-recognized process management framework in the world.

In December 2005, the OGC announced that there would be what was described as a “refresh” to ITIL version 2.0 and would be known widely as ITIL version 3.0. The refresh would be accomplished via a defined process and with a timetable set out for a team of authors to develop a new set of books. The current version of ITIL has been used for approximately six years. The “refresh” project has been under development for over a year. The term “refresh,” does not fully communicate the extent of the restructuring and scope expansion which we comment on later in this paper.

The refresh project has extended the scope and structure of the IT Infrastructure Library. ITIL version 3.0 will have the following five “Core” books:

- Service Design
- Service Introduction
- Service Support
- Service Delivery
- Continuous Service Improvement

Related OGC links:

<http://www.itil.co.uk/refresh.htm>  
[http://www.itil.co.uk/scope\\_web.pdf](http://www.itil.co.uk/scope_web.pdf)  
<http://www.itil.co.uk/car.htm>

Your HDI Strategic Advisory Board created a task force of five board members who work in the area of IT service management to understand the changes and their impact of ITIL version 3.0 and the re-commercialization of ITIL to IT organizations worldwide.

Sarbanes Oxley and similar governance regulations around the world have drawn business attention toward process improvement and quality improvement for IT. There are higher expectations for governance and for controls in all areas of ITSM. This has increased funding and attention to IT projects that address the need for process improvement, thus the changes to the ITIL material is more important than ever before.

An HDI 2006 member survey showed that fewer than 50 percent of respondents had ITIL based ITSM processes in place. The highest percentage of ITSM processes that were fully implemented were in the area of incident management, and the help desk function, showing a range of 30 percent of respondents with ITSM processes implemented. Problem and change management implementations ranged at around 20 percent with the remaining processes ranging at 10 percent or less. This tells us that many process improvement projects based upon ITIL are in their early stages and IT service management is still under evaluation.



## Findings and Observations

### ITIL Version 3.0 and changes from ITIL Version 2.0

It has been difficult to get specific information as to what will be included in ITIL version 3.0 as the authors have all been required to sign non-disclosure agreements. However, our research has produced some general details that are provided below.

#### *Facts and Information*

1. The new ITIL version 3.0 books begin with what is being called “Core Guidance.”<sup>2</sup> This consists of five volumes of best practice guidance that follow service management, cradle-to-grave life stages. The Core books:
  - a. **Service Strategy (SS)**—A business and IT alignment-focused view of ITIL that encompasses the vision and value of service management practice. This publication rests at the center of the companion process elements that follow the stages in the life of service management. It brings the business focus into view in the service life-cycle stages as the genesis of understanding business vision and value, and the enabling role IT services play. The publication should enable the reader to plan properly for implementing IT service management practices that are tied to business needs, and to establish a structure for a new service and existing services that is aligned with ITIL service management principles.
  - b. **Service Design (SD)**—This publication provides guidance on the production and maintenance of IT processes, policies, architectures, and documents for the design of appropriate and innovative IT infrastructure services, solutions, and processes to meet current and future agreed business requirements.
  - c. **Service Transition (ST)**—This publication provides guidance and process activities for the transition of services into the business environment. It focuses on the broader long-term change management role and release practices to consider risks, benefits, delivery mechanisms, and the ease of ongoing operations of services.
  - d. **Service Operation (SO)**—This publication focuses on delivery and control process activities to achieve a desired steady state of managing services on a day-to-day basis. The familiar control points of the former Service Support and Service Delivery processes from the current version of ITIL will form a major part of this volume.
  - e. **Continuous Service Improvement (CSI)**—ITIL has historically promoted the need for service providers to achieve not only consistent, repeatable process activities to demonstrate service quality, but also to look for improvements as part of service quality. This publication will focus on the process elements involved in identifying and introducing service management improvements and issues dealing with service retirement.

<sup>2</sup> *ITIL Refresh: Scope and development plan*, Office of Government Commerce (OGC), June 2006 URL: [http://www.itil.co.uk/scope\\_web.pdf](http://www.itil.co.uk/scope_web.pdf) retrieved February 1, 2007.



2. ITIL version 3.0 will contain the following three components:<sup>3</sup>

The “Core” component, as mentioned earlier, has five books covering the lifecycle of IT services from business need to service optimization and subsumes virtually the entirety of the current Service Support and Service Delivery content.

The “Complementary” component includes specific content targeting particular situations, industries, and environments. The Complementary component will change as required, perhaps annually or quarterly.

The “Web” component provides a dynamic resource for commonly needed and topical materials, such as process maps, definitions, templates, business cases, and case studies.

3. The processes defined in ITIL version 2.0 are carried over to version 3.0. The *ITIL Refresh News, 1<sup>st</sup> Edition, Autumn 2006* states clearly that, “Every title in the current ITIL Library has been reviewed and decisions made about the content that needs to be brought forward to ITIL version 3.0. We know that much of the current ITIL Library is still in use, relevant, and valuable for sustaining progress in global adoptions of ITIL-based IT service management. The ITIL you use today will still be part of version 3.0 tomorrow and go forward with your ITSM practices.”<sup>4</sup>
4. After several scheduling slippages, ITIL version 3.0 is scheduled for publication in Spring 2007.<sup>5</sup> As of this writing the expected release of the new books is May 2007.
5. Each of the five books in version 3.0 is contracted to different vendor organizations (Accenture, Carnegie Mellon University, ConnectSphere, Guillemot Rock, Hewlett Packard, and Pink Elephant). Each book has two individuals designated as authors.
6. Effective January 1, 2007, EXIN and ISEB, a division of the British Computer Society or BCS, entered a six month transition period in which the lead for ITIL certification testing and qualifications for training organizations will be transferred from EXIN and ISEB to APMG, a private UK company.
7. As of this writing there is no plan to withdraw version 2.0 once version 3.0 is released. This is in stark contrast to the initial release of version 2.0, which was followed by an immediate withdrawal of V1.0. This confusion is exacerbated by comments from vendors such as this one we received by Ivo Van Haren of Van Haren Publishing, “*The positive news is that we are told the process material (in version 3.0) will be very similar to ITIL 2.0.*” This begs the question as to why a new release is being put out if the content is very similar?

<sup>3</sup> *ITIL Version 3.0-What It Means to You*, Hank Marquis, Global Knowledge Training, LLC, 2006, p. 4-5, Retrieved: February 2, 2007, URL: [http://images.globalknowledge.com/wwwimages/whitepaperpdf/WP\\_ITILv3.pdf](http://images.globalknowledge.com/wwwimages/whitepaperpdf/WP_ITILv3.pdf).

<sup>4</sup> *ITIL Refresh News*, 1<sup>st</sup> Edition, Autumn 2006, p 7, URL: [http://www.itil.co.uk/ITIL\\_Refresh%20News\\_1st\\_Edition.pdf](http://www.itil.co.uk/ITIL_Refresh%20News_1st_Edition.pdf), Retrieved: February 2, 2007.

<sup>5</sup> *ITIL Refresh News*, 1<sup>st</sup> Edition, Autumn 2006, p 2, URL: [http://www.itil.co.uk/ITIL\\_Refresh%20News\\_1st\\_Edition.pdf](http://www.itil.co.uk/ITIL_Refresh%20News_1st_Edition.pdf), Retrieved: February 2, 2007.





8. On January 29, 2007, APM Group (APMG) announced it has reached an agreement with EXIN and BCS-ISEB, the existing ITIL examination institutes. The agreement allows candidates taking ITIL examinations to use the existing certification bodies for training and assessment and certification.
9. We have been informed by EXIN that BCS will develop additional ITSM related content and examinations outside of the agreement with APM Group. Details of such plans have not been announced.
10. The OGC informed us that organizations that meet the requirements specified by APMG "...they can become version 3.0 Examination Institutes. The process will be open and transparent, and largely rests on demonstration of compliance with existing international standards. If EXIN and ISEB choose not to take version 3.0 licenses, there is the opportunity for additional, officially sanctioned Examination Institutes to enter the market."
11. When we asked Jim Clinch at the OGC, "Will the exams stay the same, and if not, how much will they change?" he responded: *"It is too early to say, as the content will be decided by the independent minds on the Examination Panel and the structure by the Examinations Board, which includes members from accredited Examination Institutes. It is in everyone's interest to only introduce necessary and beneficial changes."* It is our observation that with the restructuring of all content and the scope expansion that it would seem logical that the exam changes will need to be much more significant than has been indicated by the OGC.
12. If your organization is interested in an ITSM audit, the ISO 20000 is the only internationally recognized standard for audits.
13. When asked, "What is the expected impact on the large body of companion books currently on the market for ITIL version 2.0?" Jim Clinch from the OGC responded: *"TSO is reviewing all of its ITIL publications, as well as the 'Core' guides. It is likely that there will be a refresh plan for some, most, or all of these additional books and this will be communicated once ITIL version 3.0 is available. Other publishers will make decisions based on their perception of market needs."*



## Observations

1. Books have been written by a limited number of authors, many of whom are vendors. This means that the perspective could be based on a vendor point of view. In ITIL version 2.0, a large circle of authors was employed, including practitioners, to at least provide a more open industry framework. Vendors who bid to be authors and were not selected may be hesitant to follow the work of their competitors. This could have a negative effect on the ability to maintain an open framework. The good news is that ITIL concepts are based on a set of common practices which are not likely to change with a new brand. Expect to see vendor specific offerings with vendor specific brands, which will be based on the same concepts.
2. We have been informed that the total number of pages in the five new books is approximately 2,000. Because of the amount of the content and the lack of time (two or three weeks) for industry review, we are concerned that adequate input may not be obtainable given time constraints. Again, this has a negative effect on maintaining the spirit of best practices built by an open community. Expect to see some continuity issues in writing style and flow between various books.
3. The apparent scope expansion includes operations guidance for areas to IT services that have significantly large bodies of knowledge related to best practices and were previously outside of the scope of ITIL version 2.0. To adequately cover all areas of IT operations is an extremely large scope expansion for material that already exists elsewhere.
4. The official position from the OGC is that all ITIL version 2.0 certifications will remain valid. Such certifications cannot imply knowledge of the additional scope areas covered by ITIL version 3.0. We would expect that the two certifications will be viewed and valued differently causing confusion in the IT population.
5. Mentors and reviewers of the books were not given access to the other books; they only had access to their own specific content. This made it difficult to do a proper review. As the structure of the books was changed, it was impossible to know if content was missing because it was in one of the other books or if it was just missing. In addition, with no one entity reviewing all the information there is the potential of an inconsistent flow for the books.
6. The price of the ITIL version 3.0 books will be US\$170 each or US\$600 (£85 each or £299) for the set of five books. The OGC has indicated "... we won't continue to support both versions. Version 3.0 includes all version 2.0 processes with more guidance on HOW to do it." Thus, those wishing to stay current will be required to buy the new set. We predict that ITIL version 2.0 books will remain in circulation until quality assurance issues, training and certification issues, etc. are resolved. That will likely happen over the next two year period, but of course cannot be guaranteed.



7. When we asked Alan Nance and Abbey Wiltse of ITpreneurs, “ITIL support technology is still not able to support ITIL version 2.0 end-to-end, so what do you feel will be the major impact on ITIL support technology with the introduction of ITIL version 3.0? Will organizations be faced with returning to manual solutions until the technology catches up?” They responded: *“Actually we predict an increasing disconnect between what the vendors are offering in regards to technology solutions versus the reality of the ITIL standards lifecycle. We feel that the vendors are going to out-drive the ITIL standard in the near future.”* This means that technology solutions may drive many service improvements making service improvement initiatives appear more like systems implementations. The danger in this is losing focus on process goals and becoming more reliant on vendor solutions.
8. When we asked Ivo Van Haren of Van Haren Publishing, “What is the expected impact on the large body of companion books currently on the market for ITIL version 2.0, and will we face a lack of guidance outside of the ITIL version 3.0 publications for a period of time?” He responded: *“It is important to remember that ITIL is just one specialty within service management. Many complementary titles covering metrics or Six Sigma, for example, will still be very valid. We believe, because the processes will be carried across to ITIL version 3.0 that this approach for many complementary titles is still valid and will still be in demand. In addition, a lifecycle approach to materials may well be required, and we believe this would take us, acting on behalf of ITSMF NL, possibly up to one year. Others will take longer!”* Expect some competing sources of books and training material to appear. As scope expands, so does the perceived market being addressed by the various expert bodies.



## Conclusions, Recommendations, and Predictions

1. We recommend the Core books be read with awareness of the fact that many of the books were written by vendor authors, some of whom were writing outside the areas of expertise that they are known for.
2. We recommend moving forward with process improvement projects based upon ITIL version 2.0 and to not wait for ITIL version 3.0. ITIL is merely a framework and as such it is not logical to think that much can or should change at the framework level.
3. We recommend that you continue with training your IT staff with ITIL version 2.0 materials. The ITIL version 2.0 framework will work just fine for planned process improvement projects.
4. We believe that the changes to ITIL will open the doors to competitive guidance books. Competition generally makes for better products; however, in the area of best practice guidance, this can divide the community.
5. We anticipate that ITIL version 3.0 will have little impact on the IT community in 2007. Towards the end of 2007 we anticipate that certification and training options will start to become widely available. Towards the end of 2007 we anticipate that consulting organizations will begin to make positioning statements as to how IT organizations should respond to the additional scope included in ITIL version 3.0.
6. We believe more vendors will introduce their branded ITIL solutions based on their involvement in the authoring of ITIL version 3.0.
7. We would expect the ITSM community to be in a state of confusion as long as the OGC continues to embrace both versions of ITIL, therefore slowing the promising adoption rate that ITIL has experienced over the last several years.
8. We also believe that the confusion between ITIL version 2.0 and version 3.0 will spill over into the testing and certification areas of ITIL. As two different ITIL versions are embraced (currently there is no plan to remove ITIL version 2.0 from the market once ITIL version 3.0 is released) it is likely that confusions will arise as to what steps will be necessary to move to a level 3 certification from a level 2.
9. For ITIL to continue to be the de facto standard for the ITSM community, a strong governance structure needs to be setup for ITIL. Without this the ITIL framework may not only lose momentum, but eventually perish.
10. For organizations planning an audit, ISO 20000 is appropriate.



11. As there may be other institutions joining the ITIL certification market, it may become confusing as to who controls the ITIL certification process. In addition, with multiple agencies providing the testing there may be some consistency issues with the testing.
12. We predict that the processes learned in the new courses will be quite similar to ITIL version 2.0; however, the extent of the changes cannot be determined until the new materials are released. As the scope of ITIL has significantly increased, we cannot predict the extent of changes in new training materials or certification tests. We recommend moving forward with training and process improvement based upon ITIL version 2.0. Sometime after ITIL version 3.0 is released the market will judge the importance of the scope extensions and new content.
13. We predict that there may be additional delays. The May issues may consist of some books but not the whole set. This will create a demand for a centrally organized quality assurance effort, leading to tough decisions weighing schedule and cost over content consistency.



### About HDI®

HDI is the world's largest industry association for help desk and support professionals. HDI's mission is to lead and promote help desk and support professionals by empowering its members through access to timely and valuable industry information, encouraging membership, certification, and training.

### Membership

HDI's membership consists of more than 7500 IT service and support professionals. Members benefit from valuable online resources, such as white papers and focus books, as well as industry best practices, tools, and trends. HDI has more than 60 local chapters throughout the United States where members network with other industry professionals.

### Training

HDI conducts help desk and support center training throughout the world—training 90 percent of the Fortune 500 companies. HDI's courses encompass all career phases from entry level support to the experienced director.

Headquartered in Colorado Springs, Colorado, HDI operates a second office in Amsterdam, Netherlands and has affiliate offices in Australia, Japan, Brazil, and United Arab Emirates.

### Related white papers in the HDI library

HDI white papers reflect the expertise of our industry experts and contributing members through their experience in the help desk and IT support industry.

You can view our library of white papers, focus books and metrics guides at **www.ThinkHDI.com**.



### Corporate Headquarters

HDI®  
102 South Tejon, Street, Suite 1200  
Colorado Springs, CO 80903

Phone: 719-268-0184  
Toll Free: 800-248-5667  
Fax: 719-268-0184  
**www.ThinkHDI.com**

HDI is a registered trademark of Think Service Inc. in the United States and other countries.

HDI, the HDI logo, and all other HDI product names and slogans are trademarks or registered trademarks of HDI. All other company names and products are trademarks or registered trademarks of the respective companies.