Guide: ITSM Documentation Checklist

Version 1.0

Table of Contents

1. Context

This is a guide for identifying what are the documents an organisation or federation should produce for IT Service Management.

Applying this guide may support compliance against the requirements listed in FitSM-1. More specifically, this guide refers to the following general requirements in GR2: Documentation:

GR2.1 The overall SMS shall be documented to support effective planning. This documentation shall include:

- *Service management scope statement (see GR3)*
- *Service management policy (see GR1)*
- *Service management plan and related plans (see GR4)*

GR2.2 Documented definitions of all service management processes (see PR1-PR14) shall be created and maintained. Each of these definitions shall at least cover or reference:

- *Description of the goals of the process*
- *Description of the inputs, activities and outputs of the process*
- *Description of process-specific roles and responsibilities*
- *Description of interfaces to other processes*
- *Related process-specific policies as applicable*
- *Related process- and activity-specific procedures as required*

GR2.3 The outputs of all service management processes (see PR1-PR14) shall be documented, and the execution of key activities of these processes recorded.

These general requirements apply to some core SMS documentation but also to a number of processes within the FitSM standard, and hence the purpose of this document is to identify which documents should be produced to fulfil GR2.

2. Service Management System scope and documentation

When setting up a Service Management System (SMS) the scope of documentation will relate directly to the scope of the SMS. Documents related to the SMS as a whole (and generally pertaining to the General Requirements) will generally apply to all SMSs. However documents and records related to specific processes will be required when those processes are in scope for the SMS.

Both documents and records can be kept in a variety of media, and do not need to be artificially separated. For instance the process definition for Capacity Management and also the Capacity Plan and Capacity and Performance Requirements could all be held on a single Wiki page for the CapM process, or alternately could all be separate formal documents. Compliance with the requirements of FitSM, including those related to documentation, is related to effective availability of the content to support professionals service delivery, rather than simply the existence of documents or records.

The list below is intended to provide a simple checklist to assist service providers setting up an SMS in ensuring they have created all required and in scope documents and records.

While not mentioned in Section 1: Context, the documents and records required should all additionally meet GR2.4, which states:

> *GR2.4 Documentation shall be controlled, addressing the following activities as applicable:*
> - *Creation and approval*
> - *Communication and distribution*
> - *Review*
> - *Versioning and change tracking*

Hence all documents and records should be controlled appropriately.

3. Checklist for IT Service Management documentation

The table below lists the documents and records required by FitSM-1:2015 (Version 2.0). Having these in place indicates a well-managed Service Management System. However not all may be produced at the same time, and additional documentation will likely be required depending on the specific organisation and service context.

Artefact	Record?	Reference	Notes
Service Management Scope Statement		GR2.1, GR3.1	
Service Management Policy		GR1.1, GR1.2, GR2.1	
Service Management Plan		GR2.1, GR4.1, GR4.2, GR4.3	
SMS effectiveness and performance results	Yes	GR6.1	
Assessment and audit results	Yes	GR6.2	
Service Portfolio Process Definition		GR2.2, PR1	
Service Portfolio		PR1.1	
Service Level Management Process Definition		GR2.2, PR2	
Service Catalogue		PR2.1	
Service Level Agreements (SLAs)		PR2.2	
SLA review results	Yes	PR2.3, GR6.1	
Service performance results versus SLAs	Yes	PR2.4, GR6.4	
Operational Level Agreements (OLAs)		PR2.5	
Underpinning Agreements (UAs)		PR2.5	
Agreement review records (from SLA, OLA and UA reviews)	Yes	PR2.6	
Agreement performance data (service performance for SLAs, component performance for OLAs and UAs)	Yes	PR2.7	

Service Reporting Process Definition		GR2.2	
Service report specifications		PR3.2	
Service reports	Yes	PR3.3	
Service Availability & Continuity Process Definition		GR2.2, PR4	
Service Availability and Continuity Requirements		PR4.1	Note: typically a part of the Service Availability and continuity plan
Service Availability and Continuity Plan		PR4.2	
Availability monitoring results	Yes	PR4.4	
Capacity Management Process Definition		PR2.2, PR5	
Capacity and performance requirements		PR5.1	Note: typically a part of the Capacity Plans
Capacity plans		PR5.2	
Performance and utilisation monitoring results	Yes	PR5.4	
Information Security Management Process Definition		GR2.2	
Information Security Policies		PR6.1	
Information Security Control specifications		PR6.2	
Information Security policy and control review results	Yes	PR6.3	
Customer Relationship Process Definition		GR2.2, PR7	
Customer and contact list		PR71, PR7.2	
Service review results	Yes	PR7.4	
Complaint handling results	Yes	PR7.5	
Customer satisfaction monitoring results	Yes	PR7.6	
Supplier Relationship Process Definition		GR2.2, PR8	
Supplier and contact list		PR8.1, PR8.2	
Supplier performance monitoring results	Yes	PR8.4	
Incident and Service Request Process Definition		GR2.2, PR9	
Incident and Service Request tickets	Yes	PR9.1	
Major Incident definition		PR9.7	
Problem Management Process Definition		GR2.2, PR10	
Problem records	Yes	PR10.1	
Known error descriptions (KEDB)	Yes	PR10.4	

Configuration Management Process Definition		GR2.2, PR11
CI types and relationships		PR11.1
CI entries (in CMDB)	Yes	PR11.3
CI and CMDB verification results	Yes	PR11.5
CI baselines	Yes	PR11.6
Change Management Process Definition		GR2.2, PR12
Change records	Yes	PR12.1
Post Implementation Review results	Yes	PR12.3
Emergency Change definition		PR12.4
Schedule of Changes		PR12.6
Change reversal plans		PR12.7
Release and Deployment Management Process Definition		GR2.2, PR13
Release Policy		PR13.1
Release plans (per release) and acceptance criteria		PR13.2, PR13.3, PR13.4
Post release evaluation results	Yes	PR13.6
Continual Service Improvement Process Definition		GR2.2, PR14
Improvement suggestions	Yes	PR14.1