

# How to Implement: an ITIL guide to transformations



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# » In the next hour...

- › Intention, purpose, and title
- › What's inside
- › The transformation model
- › The patterns
- › The toolbox
- › What's in it for you
- › How much does it cost
- › Q&A



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- › Q&A



Kaimar Karu



Stuart Rance



Mark Smalley

# » Intention, purpose, and title

## › Intention:

to support application of ITIL recommendations with a universal, practical, tailorable guidance for transformation, effective in today's VUCA environment

## › Purpose:

to supports large transformations of organization's governance and management system

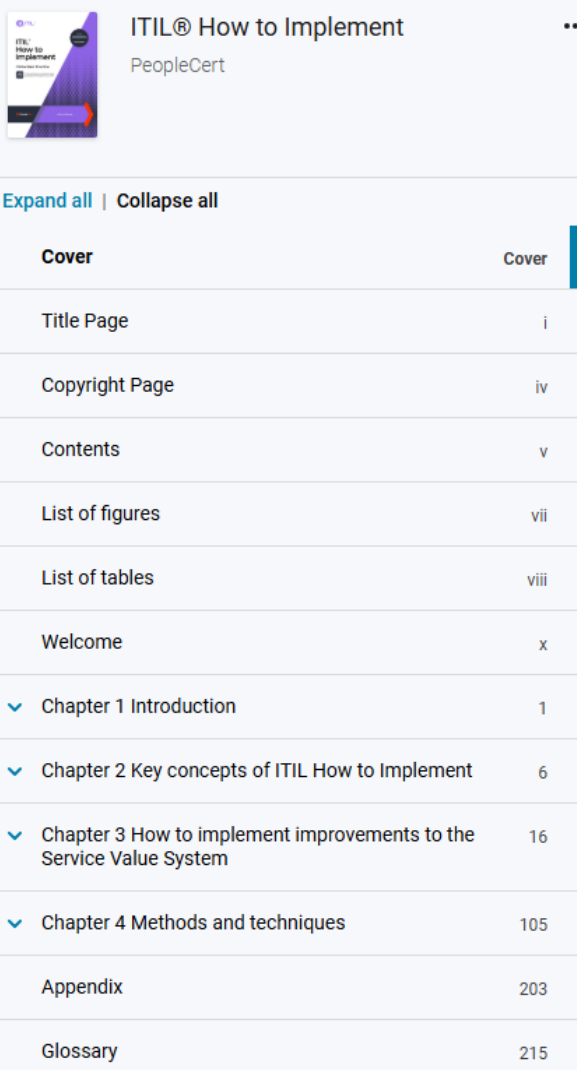
## › The title:

This is an ITIL guide to implementation of changes to organization's governance and management system.

This is NOT a guidance to implementation of ITIL

# »» What's inside

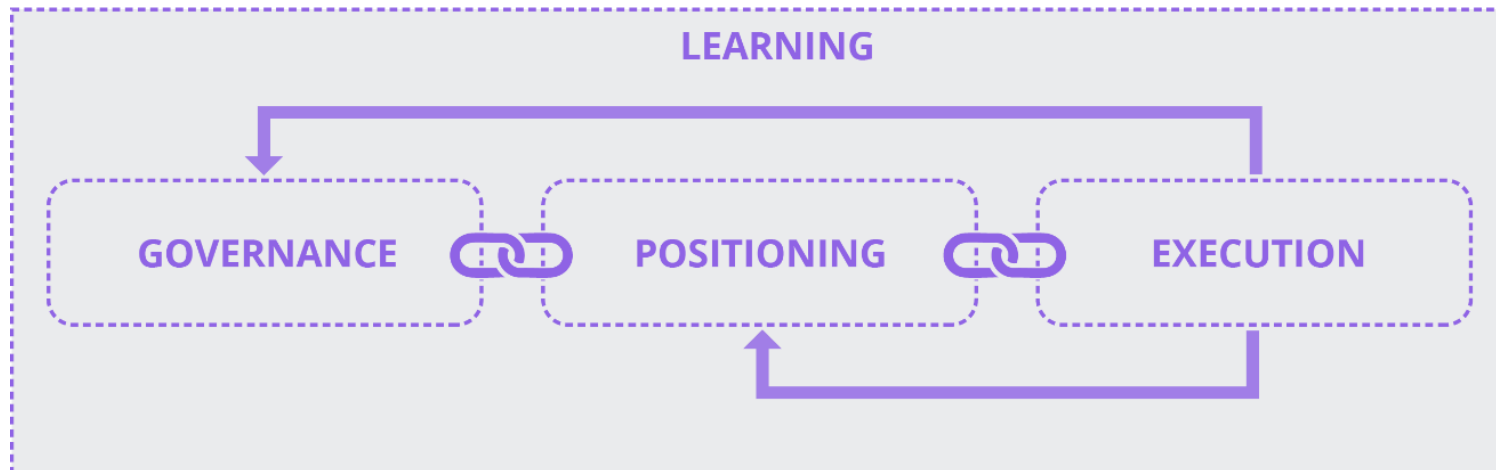
- › A transformation model  
four layers, twelve stages, and twenty-four steps
- › Three types of patterns:  
initiation patterns, governance patterns, and  
execution patterns
- › A toolbox:  
description of twenty-seven methods and tools  
supporting various transformation activities.



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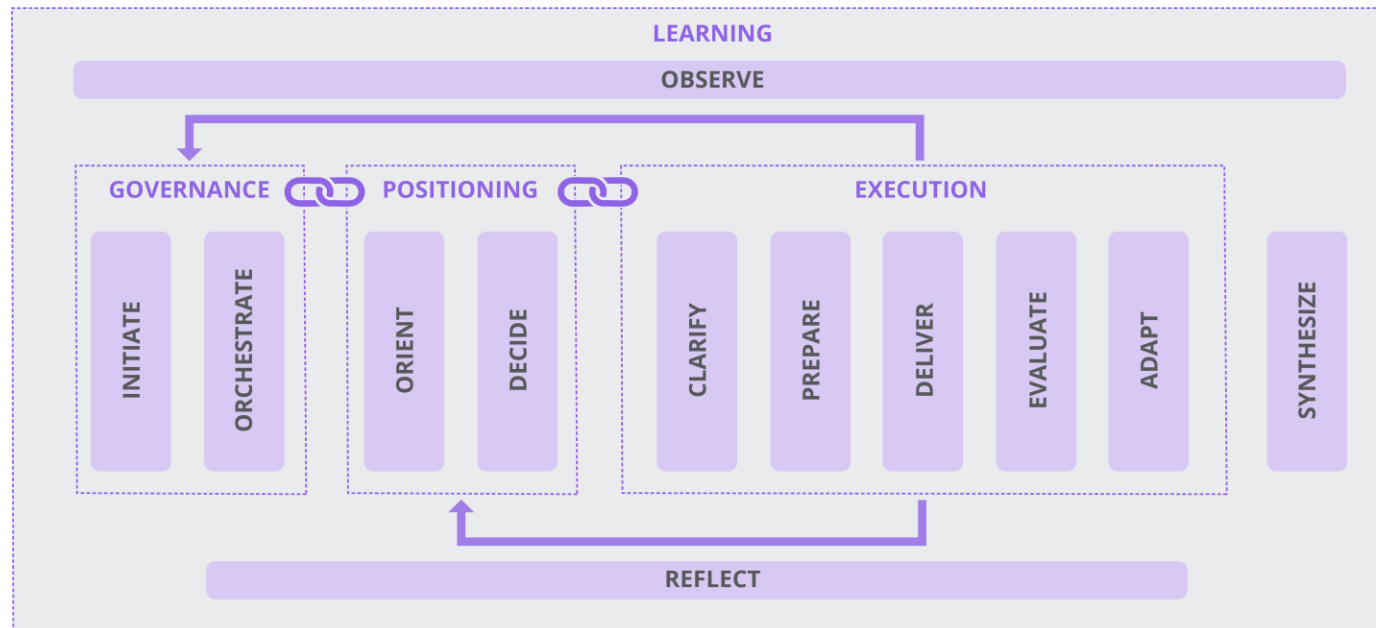
# Transformation model

- › Four layers
- › Twelve stages
- › Twenty-four steps



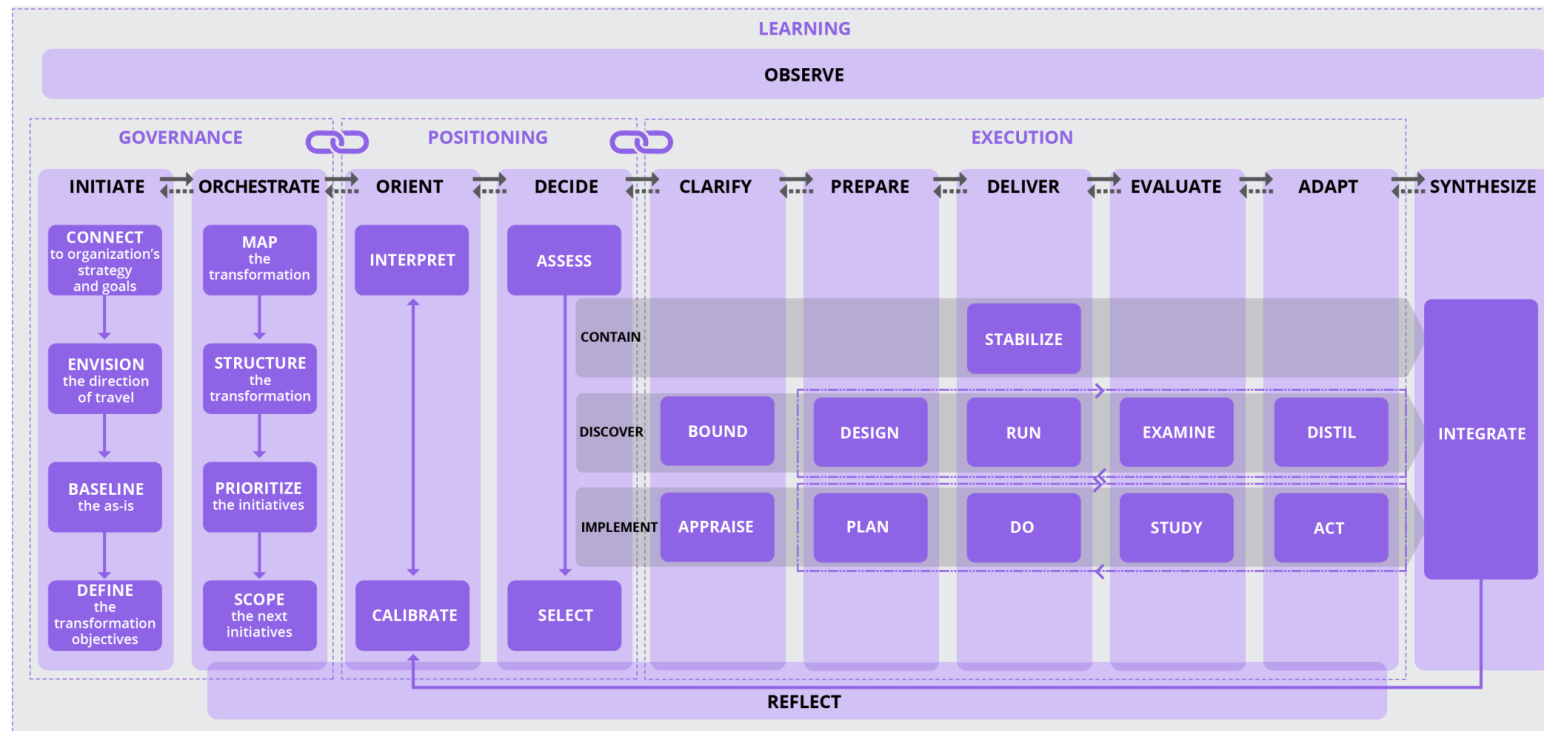
# Transformation model

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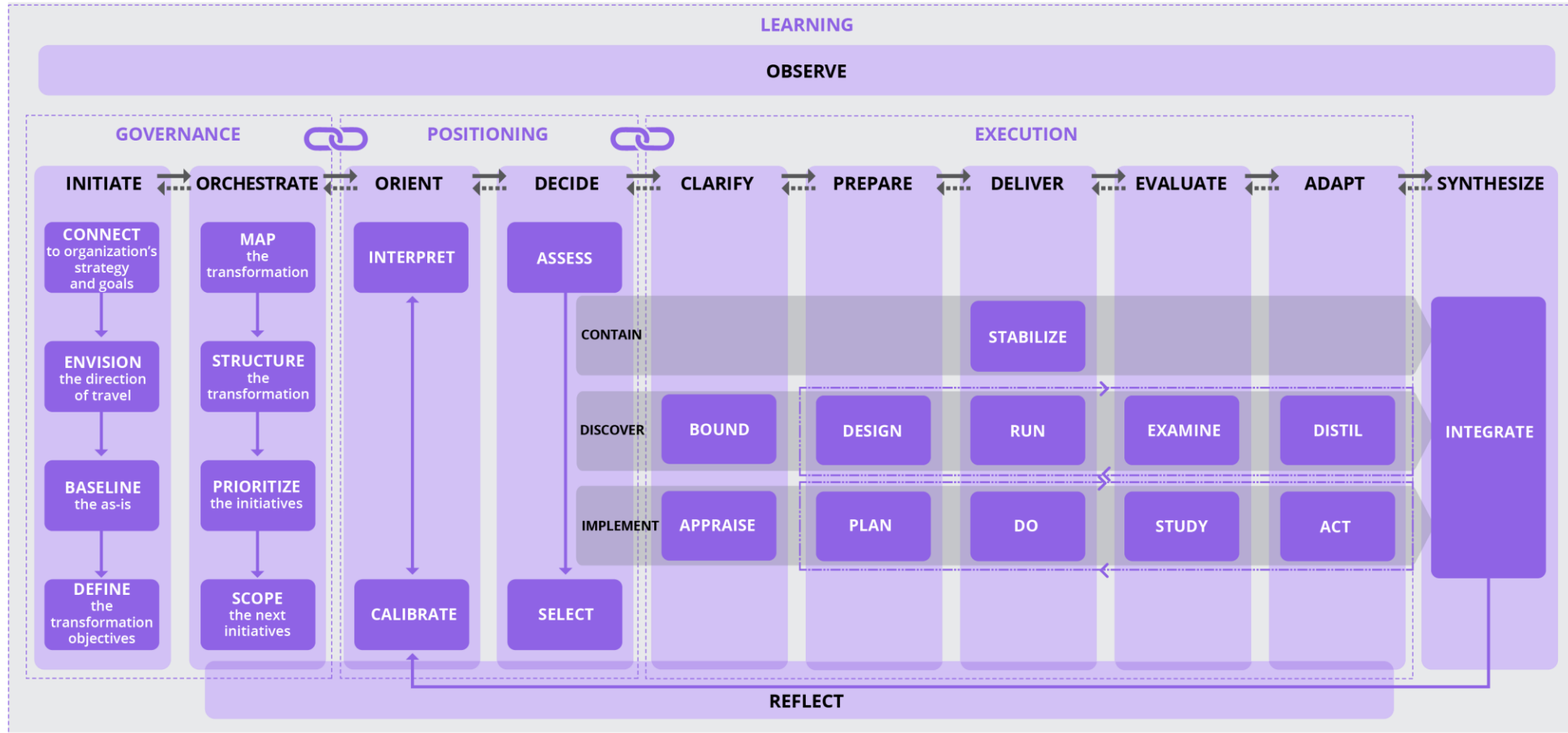
# Transformation model

- › Four layers
- › Twelve stages
- › Twenty-four steps





# Transformation model



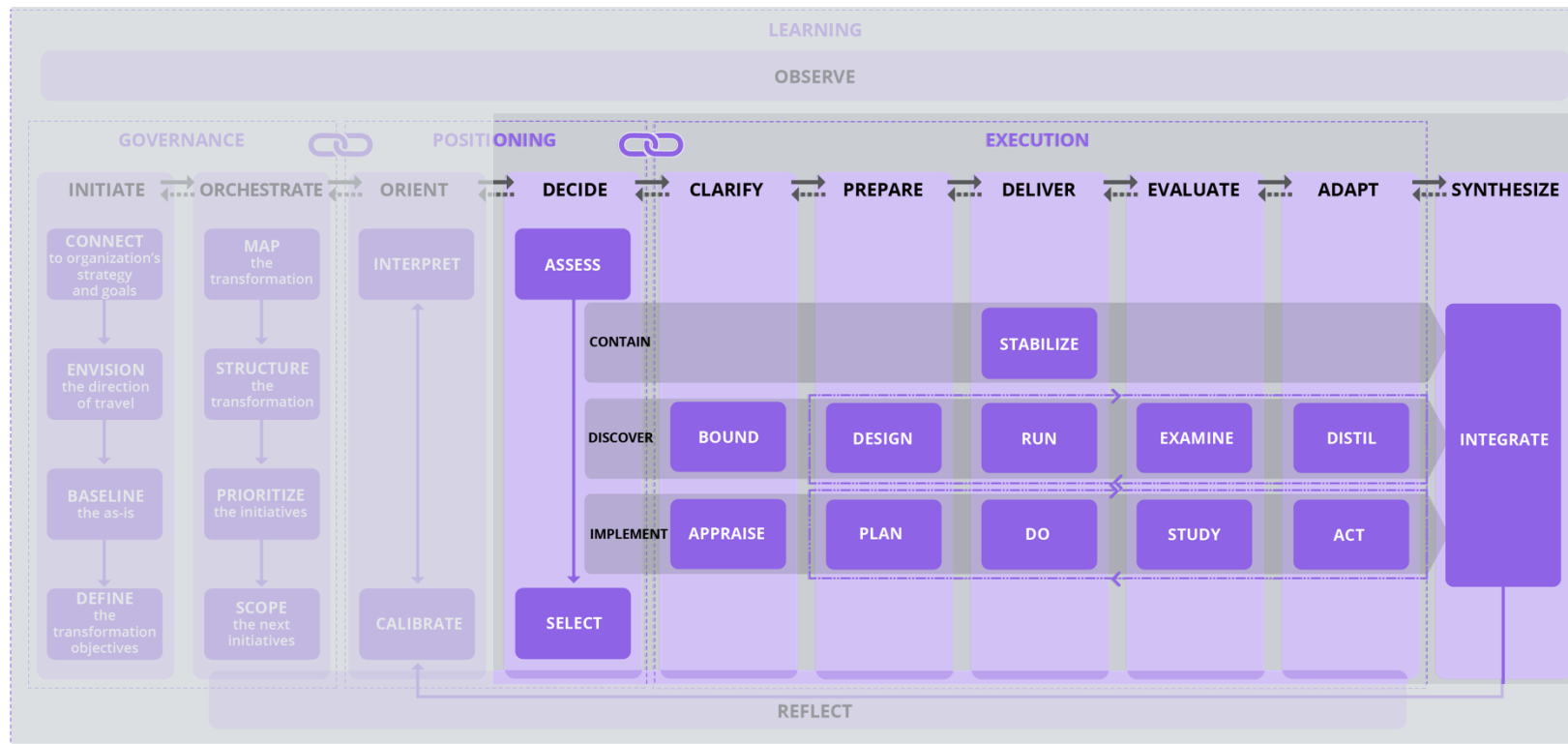
# » Patterns

- › Execution patterns  
how execution of initiatives and activities within a transformation varies depending on the complexity of the context
- › Initiation patterns  
common triggers of organization- and SVS-level transformations and their impact on the transformation layers, stages, and steps
- › Governance patterns  
optimal approach to the governance of a particular transformation

# » Patterns

## › Execution patterns

how execution of initiatives and activities within a transformation varies depending on the complexity of the context



# » Patterns

## › Initiation patterns

common triggers of organization- and SVS-level transformations and their impact on the transformation layers, stages, and steps

1. Mandatory regulatory, compliance, or legal requirement
2. Structural business change
3. Reactive technology-driven change
4. Internal improvement or remediation
5. Business demand

## › Each of the five patterns identifies:

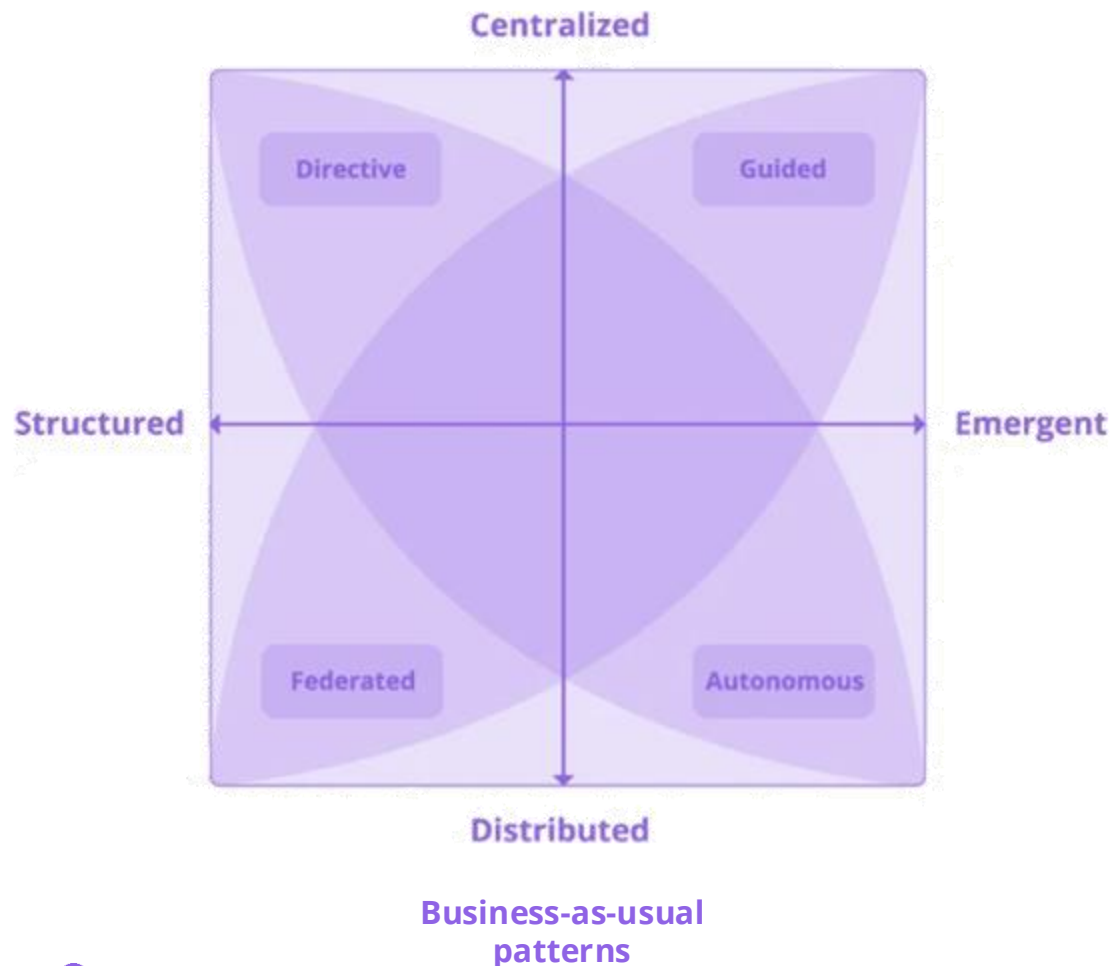
- what transformation is needed and why
- who wants the transformation
- and in many cases when the transformation is needed

## › More than one pattern may apply to a transformation

# » Patterns

## › Governance patterns

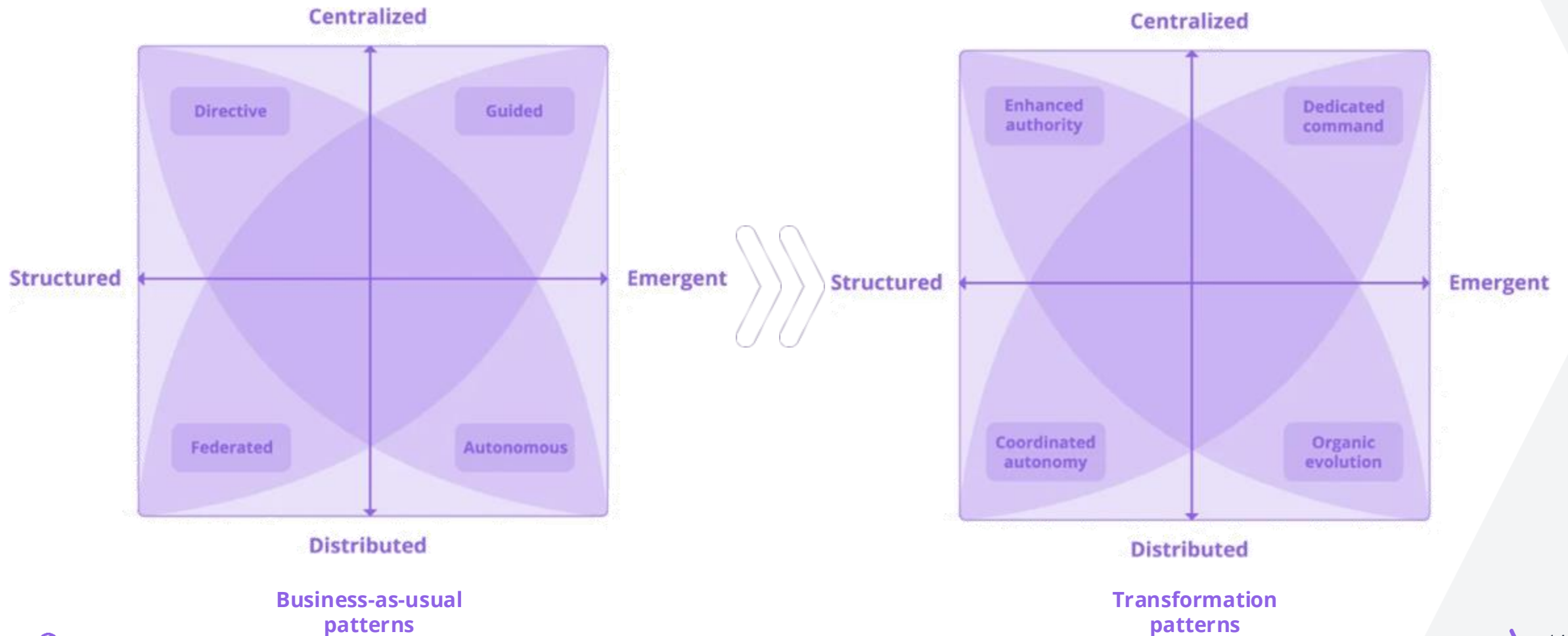
optimal approach to the governance of a particular transformation



- Directive: top-down control through formal hierarchies, strict procedures, and standardized processes.
- Guided: central vision and strategic direction with local freedom in execution and implementation.
- Federated: multiple distributed units with delegated authority coordinating through formal structures.
- Autonomous: self-organizing teams making decisions through peer collaboration and influence.

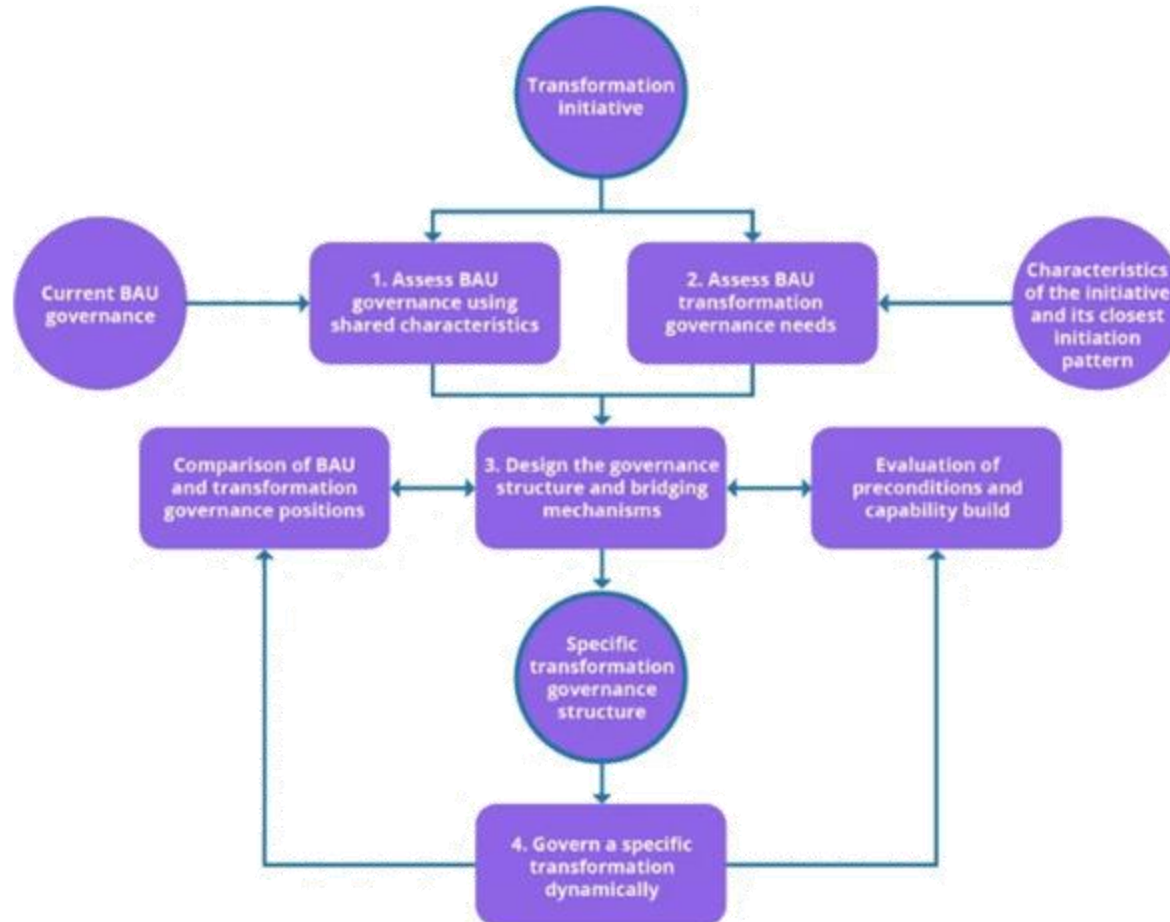
# » Patterns

- › Governance patterns  
optimal approach to the governance of a particular transformation



# » Patterns

- › Governance patterns  
optimal approach to the governance of a particular transformation



# » Methods and tools

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## › 26 methods and tools

## › Linked to the transformation activities and patterns

## › Uniform description

- description
- benefits
- potential issues
- when to use
- how to use



# Examples

## Example transformation

A large financial organization was subject to an audit by their financial regulator. There was a major non-conformity, which the organization had to resolve within six months. The issue was caused by many minor changes being made to IT systems and applications that did not go through the approved change management process. Staff in development and infrastructure teams said that the official process was too slow and bureaucratic and that the changes they were making were minor and did not need this level of scrutiny.

The corporate risk and compliance manager was the sponsor for the transformation. The IT change manager was the change owner. There was significant pressure from the board to resolve this issue without excessive cost and without slowing down the organization's ability to innovate.

The organization engaged an external consultant to work with the IT change manager, and these two developed a plan to resolve the issue. Governance of this transformation is described in Appendix (see CASE 1).

During the governance layer of the transformation, the team used the following tools:

- **Stakeholder mapping and analysis (see Section 4.1.21):** to identify all the teams that would need to work differently, and to fully understand the expectations of the leadership team.
- **Risk management practice (see Section 4.1.19):** to ensure that the potential impact of the transformation is understood, and to reduce the risk of not meeting stakeholder expectations.

They created a high-level plan that had a well-defined result, and clear steps for how this result would be achieved. Details of each step were to be developed iteratively later, and improvements were to be released incrementally during the work.

During the positioning layer of the transformation, they used the following tools:

- **Cynefin (see Section 4.1.5):** to establish that the issue was complicated as it involved multiple teams, various tools, value streams, and suppliers; however, it was not complex as the issues were well understood and the solution would use known approaches.

The first target was to agree with the leadership team what their expectations were for managing changes, not in terms of process steps, but in terms of what should be achieved. This resulted in a document that set out principles such as:

- Every change must be reviewed by someone with the technical ability needed to understand the risk.
- Every change must leave an audit trail that meets the expectations of the audit team.

This document was reviewed and approved by the sponsor.

The next steps were run in parallel. The consultant and change manager worked with every team that made changes, discussing how the team could meet the new principles without disrupting their ability to work. Each team developed one or more change models that worked for them. For example, one software development group had two teams in different countries and they agreed that each team would review minor changes created by the other. This approach helped reduce resistance to change and ensure that each team took ownership of their new ways of working.

After each team had designed one or more new change models, the sponsor was asked to review the work so far to verify they agreed with the solution.

Each team then started to use their new change models, logging and reviewing their changes in the ways that worked for them. As the teams started to use the new models, they discovered some issues and made improvements till they worked well for everyone. Changes to the models were subject to approval by the change manager.

The consultant and change manager monitored the results of the transformation very closely for a few weeks. When all was working well, they arranged for an internal audit to be performed to ensure all was good before the regulator came back for the six-monthly re-audit.

Tools used during the execute layer of the transformation included:

- **Gemba walks (see Section 4.1.8):** to understand how each group managed changes as part of the prepare stage.
- **Measurement and reporting practice (see Section 4.1.13 and the ITIL® 4 Measurement and Reporting Official Practice Guide):** to monitor effectiveness and efficiency of the updated change enablement practice as part of the evaluate stage.
- **Internal audits (see Section 4.1.7):** to ensure that executive stakeholders were satisfied with the transformation as part of the evaluate stage.

After everything was complete, and the external auditor had accepted the new ways of working, the IT director ran a workshop to discuss what had been learned in this transformation, and what could be reused to help improve other practices. This was part of the reflect stage.

# »» What's in it for you ...if you sponsor or own a transformation

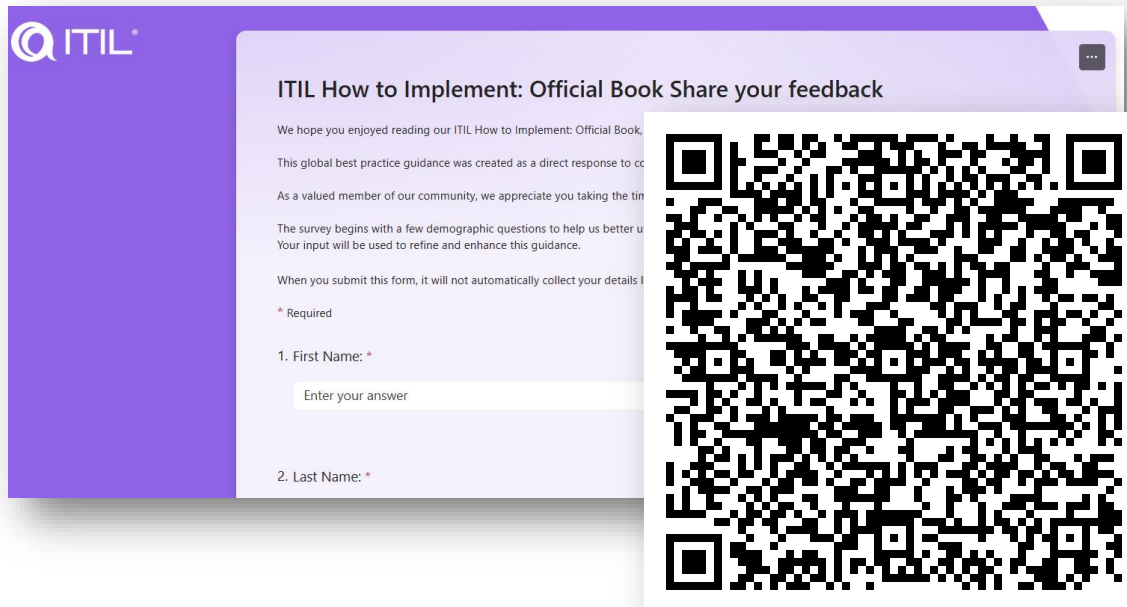
- › Understand the four layers of transformation (Governance, Positioning, Execution, Learning) and their interconnection.
- › Identify the applicable initiation patterns to align the transformation's purpose and implementation with stakeholder expectations.
- › Adopt the most suitable governance approach to maintain oversight without stifling innovation or responsiveness.
- › Empower your teams and increase chances for success by enabling context-driven decision-making through execution patterns.
- › Monitor progress and build long-term capability through the Learning layer mechanisms.
- › Utilize the appropriate tools and methods

# »» What's in it for you ...if you are involved in the transformation work

- › Use the transformation model to define, run, and adapt your activities across all four layers: Governance, Positioning, Execution, and Learning.
- › Apply the appropriate execution pattern based on your context:
  - Use Implement for predictable changes.
  - Use Discover for complex, evolving environments.
  - Use Contain in crisis-driven or chaotic scenarios.
- › Align your work with the overall intent and triggers of the transformation by understanding the initiation pattern.
- › Refer to the toolbox to select and apply methods and tools suited to each transformation step.
- › Improve your professional development by focusing it on the relevant methods and tools.

# » How much does it cost?

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# » We might have time for questions

- › Intention, purpose, and title
- › What's inside
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