

**Soft-Aid Presentation: The I's have it:**  
**The ITIL SAM Framework, ISO 19770-1 Standard, and**  
**IAITAM's Best Practice Library. Making Sense of it All.**

**The I's have it:**  
**The ITIL SAM Framework,**  
**ISO 19770-1 Standard, and**  
**IAITAM's Best Practice Library.**  
**Making Sense of it All.**

Presenter:

David E. Yashar

Managing Consultant, Soft-Aid

[dyashar@aid.com](mailto:dyashar@aid.com)



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## Agenda

- Soft-Aid's Background on the Topic
- SAM Standards, Frameworks and Libraries
- Defining ISO 19770-1, ITIL SAM, and IAITAM's BPL
- How ISO and IAITAM Complement ITIL SAM
- Where do ISO and ITIL SAM Overlap
- Concluding Comparison of ISO 19770-1, ITIL SAM, and IAITAM's BPL
- More on ISO 19770-1 Certification
- Questions and Answers



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## Soft-Aid's Background on the Topic

- Professional Services firm specializing in SAM/ITAM, licensing T&Cs, and IT Governance
- Headquartered in Woburn MA with consultants in Omaha and Atlanta
- All Soft-Aid consultants have 10+ years of experience in ITAM/SAM
- Have provided SAM services to over 100 clients
- Helping to drive industry adoption of SAM best practices using standards and frameworks
- Active member and contributor to several industry trade groups



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## Standards, Frameworks, Libraries

- A standard is a guideline that reflects formal agreement of practices or operations among nationally or internationally recognized bodies. Standards are generally prescriptive not descriptive.
  - Norms and guidelines for a systematic approach to assessing ITAM maturity
  - Voluntary adoption but strict adherence to adoption guidelines is required
  - Developed to provide consistent ranking mechanism across companies and industries (the outputted results are known and trusted)
  - Makes best practices become expected requirements



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## Standards, Frameworks, Libraries

- A framework is a reference point (and provides guidance) for how one *could* perform activities. It is generally descriptive and does not provide a step-by-step manual.
  - The *Best Practice for SAM ITIL Guide* is a framework.
- A library is a compilation of best practices and typically includes guidance on the methodology to implement them. It typically derives from first-hand experience and empirical results. A library usually reflects practical insights and actionable items to improve the maturity of practices and operations.
  - IAITAM's Best Practice Library (BPL) is an example of a library.

## SAM Standards, Frameworks, and Libraries

- ISO 19770-1 (Standard)
  - Primary objective: Demonstrate effective control and governance of IT Assets.
  - “Measure, monitor and control” is an ISO mantra
- ITIL SAM (Framework)
  - Primary objective: Align IT services to business and end-user needs.
- IAITAM BPL (Library)
  - Primary objective: Practical implementation guides which includes the “how’s” and “why’s”, templates, and workflows.

## Unique Characteristics of ISO 19770-1

- “A baseline [and reference model] for an integrated set of SAM processes”
- Internationally recognized, vendor independent, independently developed by competent third parties
- Does not address process workflows or activities
- ISO 19770-1 prescribes outcomes not processes or procedures
- Developed to enable an organization to demonstrate that it is performing SAM to a standard sufficient to satisfy Corporate/IT Governance requirements

## Unique Characteristics of ISO 19770-1

- ISO def. of SAM: “effective management, control, and protection of software assets within an organization”
- Key words: control, planning, monitoring, verification, reporting structure
- Allows third parties to have visibility into SAM environment and provides consistent measure for comparison across companies
- Readily assessable and primed for benchmarking. User-defined scope can determine scale of examination
- Aligns closely with ISO/IEC 20000 (IT Service Mgt. Std.)

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## Unique Characteristics of ISO 19770-1

- Does not uniformly specify the explicit content that is necessary for SAM
- Process interfaces (process dependencies) are not entirely explicit
- Details neither descriptive nor prescriptive activities. Outcome centric
- Does not specify the sequence of steps an organization should follow to implement SAM



### Organizational Management Processes for SAM

<b>4.2 Control Environment for SAM</b>			
Corporate Governance Process for SAM	Rules and Responsibilities for SAM	Policies, Procedures and Procedures for SAM	Competence in SAM
<b>4.3 Planning and Implementation Processes for SAM</b>			
Planning for SAM	Implementation of SAM	Monitoring and Review of SAM	Continuous Improvement of SAM

### Core SAM Processes

<b>4.4 Inventory Processes for SAM</b>			
Software Asset Identification	Software Asset Inventory Management	Software Asset Control	
<b>4.5 Verification and Compliance Processes for SAM</b>			
Software Asset Record Verification	Software Licensing Compliance	Software Asset Security Compliance	Conformance Verification for SAM
<b>4.6 Operations Management Processes and Interfaces for SAM</b>			
Relationship and Contract Management for SAM	Financial Management for SAM	Service Level Management for SAM	Security Management for SAM

### Primary Process Interfaces for SAM

<b>4.7 Life Cycle Process Interfaces for SAM</b>			
Change Management Process	Software Development Process	Software Deployment Process	Problem Management Process
Acquisition Process	Software Release Management Process	Incident Management Process	Retirement Process

Figure 1 — Framework for SAM processes

Source: ISO 19770-1 Standard, 2006



## Unique Characteristics of ITIL SAM Best Practices

Does this Sound Familiar?

- I am tired of being the last person to know about a software or hardware change
- I am not sure what software services that we offer
- Customer and SAM service expectations are not in alignment
- Why does every request for SAM services, from software procurement to service desk support, feel like it takes too long
- Why does every change feel like it has to be done urgently
- Rework due to failed changes

## Unique Characteristics of ITIL SAM Best Practices

- “Demonstrate value of IT to the business and end-users by providing high quality services”
- Promotes “a quality approach to achieving business effectiveness and efficiency in the use of information systems”
- Provides “generic guidance ... ITIL books cannot always describe the latest developments in IT”

## Unique Characteristics of ITIL SAM Best Practices

- SAM link is stronger with Service Support (than Service Delivery)
  - Primary: Configuration Management, Change Management, Release Management
  - Secondary: Service Desk and Incident Mgt., Problem Mgt.
- Key words: service delivery, service support, problem and incident management, service desk (responding to end user requests and creating a service oriented company)

## Characteristics of ITIL SAM Best Practices

### ITIL SAM Process Areas

Overall Management Processes		
Overall management responsibility assessment	Risk	Competence, awareness and training
Policies and procedures		Performance, metrics and continuous improvements
		Service continuity and availability management
Core Asset Management Processes		
Asset identification		Database management
Asset control		Financial management
Status accounting		
Logistics Processes	Verification and Compliance Processes	Relationship Processes
Requirements definition	Verification and audit	Contract management
Design	Licensing compliance	Supplier management
Evaluation	Security compliance	Internal business relationship management
Procurement	Other compliance	Outsourcing management
Build		
Deployment		
Operation		
Optimisation		
Retirement		

Source: *Best Practice for SAM (ITIL)*, OGC, 2003

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## Unique Characteristics of IAITAM's Best Practice Library

- Focuses on core set of 12 key process areas that have high degree of repeatability – explains the how's and why's of implementation
  - Examples include Asset Discovery and Identification, IT Acquisition, Vendor Management, Compliance and Legislation, and Disposal
- A working model and methodology (which includes client and project management elements) to develop the correct processes for your specific organization

## Unique Characteristics of IAITAM's Best Practice Library

- Activity Dependencies and Coordination are key
  - Result: an understanding of what SAM activities produce an output that is the input of another activity
- The IBPL focuses more on the “how's” of SAM and can be part of a plan to conform to the prescriptive outcomes stipulated by ISO
- Designed to be interactive and collaborative when used with the right stakeholders

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## Unique Characteristics of IAITAM's Best Practice Library

- Logical groupings of activities and fosters buy-in to reengineered workflows
  - Isolates, for example, the process objectives, the capabilities and required commitments, workflows, and measurement /verification mechanisms
- Ultimate objectives:
  - Provide education and a roadmap to ensure the reader understands the how for each key process.
  - Ensuring that the right person/item (“what”), is available at the right time (“when”), and in the right order (“where”)
  - Integrates with other standards and frameworks to form a more complete approach to IT Asset Management.



## How ISO and IAITAM Complement ITIL SAM

ITIL Project Pitfalls	How It Can Be Avoided
There is no perceived improvement in IT services due to a fundamental lack of understanding about what the relevant processes should provide, what the performance indicators are, and how the processes can be controlled.	<ul style="list-style-type: none"> <li>• An ISO 19770-1 maturity assessment can add a baseline perspective.</li> <li>• IAITAM's BPL provides prescriptive guidance on SAM process definition and measurement.</li> </ul>
Improvement in the provision of services and cost reductions are insufficiently visible because no baseline data was available for comparison.	<ul style="list-style-type: none"> <li>• An ISO 19770-1 maturity assessment can provide a suitable baseline of current IT Asset Mgt. and service management controls.</li> </ul>



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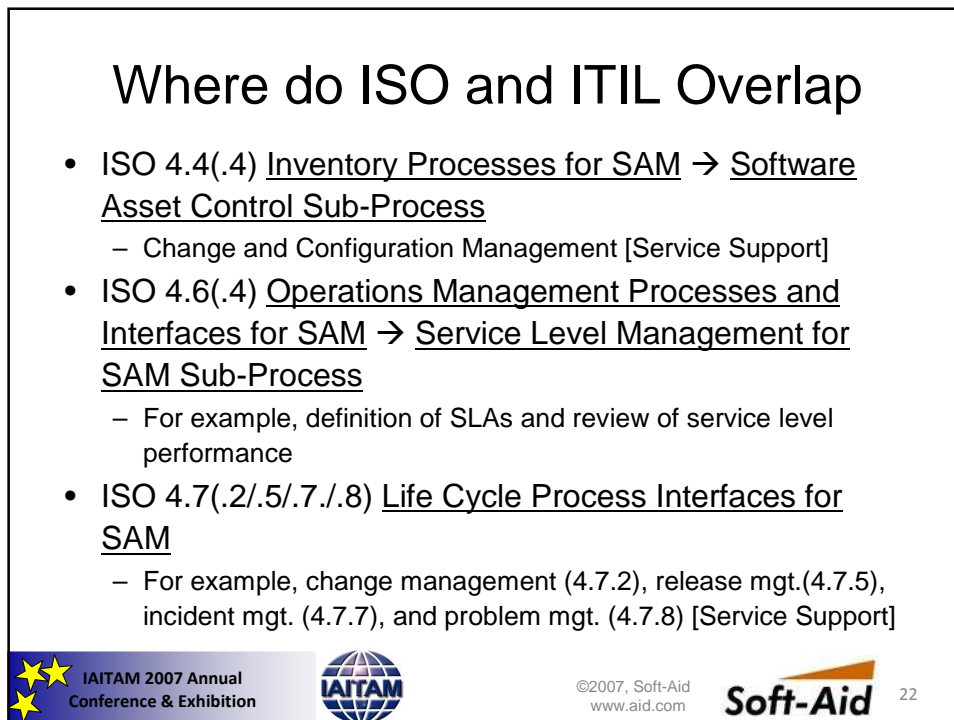
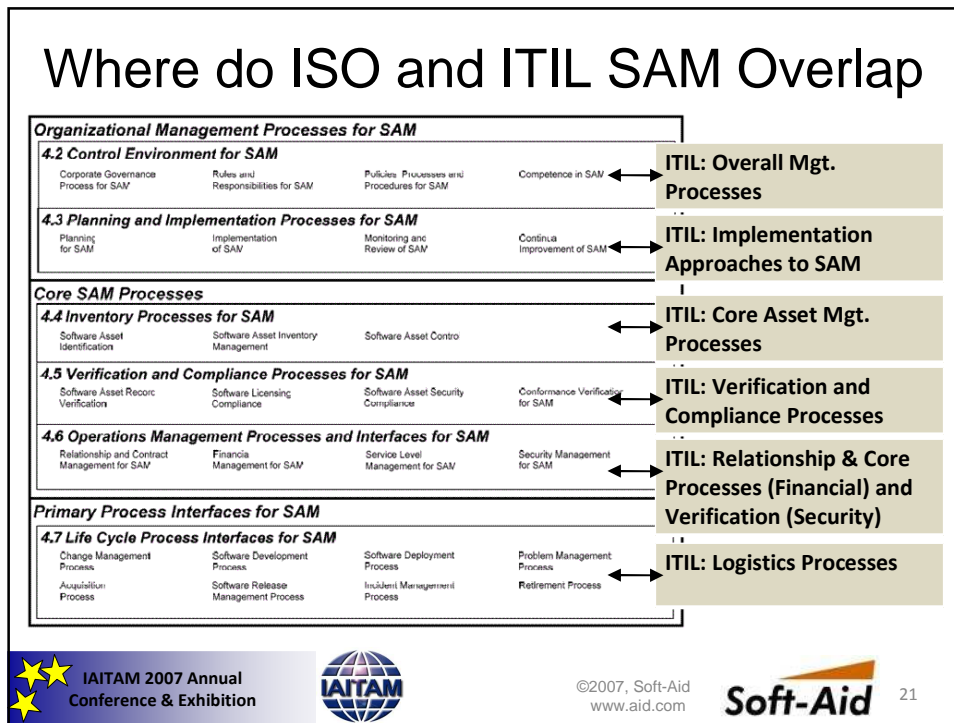
## How ISO and IAITAM Complement ITIL SAM

ITIL Project Pitfalls	How It Can Be Avoided
No client/project management guidelines to doing the project. An overambitious start can lead to frustration because the objectives are never met.	<ul style="list-style-type: none"> <li>IAITAM BPL client/project management methodologies and approach.</li> </ul>
If process structures become an objective in themselves, the service quality may be adversely affected. Unnecessary or over-engineered processes are bureaucratic obstacles to avoid.	<ul style="list-style-type: none"> <li>IAITAM BPL process implementation methodology</li> </ul>

## How ISO and IAITAM Complement ITIL SAM

ITIL Project Pitfalls	How It Can Be Avoided
A successful implementation requires the involvement and commitment of personnel at all levels of the organization. Leaving the development of the process structures to a specialist dept. may isolate that department in the organization and it may set a direction that is not accepted by other departments.	<ul style="list-style-type: none"> <li>Performing an ISO 19770-1 maturity assessment and presenting the results to senior management can ensure buy-in.</li> <li>IAITAM BPL methodologies are collaborative across departments.</li> </ul>

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## Comparison Chart

	IAITAM BPL	ITIL SAM	ISO 19770-1
Approach	Bottom Up Operational		Top Down IT Governance
Audience	IT Department / Business Units (Procurement, etc.)	IT Department / Business Units (End-Users)	IT Management / Senior Management
Perspective	Prescriptive	Descriptive	Neither (Outcome Dependent)
Deliverables	Process Implementation Policy and Procedure Documentation		Business Case, Maturity Assessment, and/or ISO Certification
Descriptors	"Why" "When" (order) "What" (activities) "How" (prescriptive)	"Why" n/a "What" (processes) "How" (descriptive)	"Why" "When" (how often) "What" (outcomes) n/a
Organization Certification	None for organizations at this time. Certifications for individuals exist in the form of IAITAM courses and proctored test (CSAM/CHAMP/CITAM)	None for organizations. General ITIL certifications exist for individuals	In development w/ participating companies in the U.K. (RAP / Recognized Adopter Program)
Form of Certification	Phased approach	n/a	Available. Only "all or nothing" conformity is accepted at this time with minor nonconformity exceptions. Possible phased or staged approach to launch in the future.



## Comparison Chart

	IAITAM BPL	ITIL SAM	ISO 19770-1
Specificity of Questions	Low (but questions provided)	Medium	High
Flexibility of Approach to Increasing Maturity	Medium	Medium	High
Complexity of the Terminology	Low	Medium	High
Rigidity of Terminology	Low	Midway	High
TCO (Total Cost of Ownership)	Yes	Yes	No
Possible Drivers of Adoption (unique)	<ul style="list-style-type: none"> <li>Proactive improvement of organization processes</li> </ul>	<ul style="list-style-type: none"> <li>Service management directives</li> <li>Opportunity to break down existing IT silos</li> <li>Improve effectiveness and efficiency of service delivery – reduce IT spending</li> </ul>	<ul style="list-style-type: none"> <li>Government or legal mandates</li> <li>Financial incentives for adoption</li> <li>Possible support from SW publishers around license compliance</li> </ul>
Primary Benefits	<ul style="list-style-type: none"> <li>Business Performance</li> <li>Managing Risks</li> <li>Increasing Accountability</li> <li>Reducing Cost</li> <li>Gaining Control</li> </ul>	<ul style="list-style-type: none"> <li>Managing Risks</li> <li>Controlling Costs</li> <li>Obtaining Competitive Advantage</li> <li>Enhancing employee motivation</li> </ul>	<ul style="list-style-type: none"> <li>Improved SAM Competence</li> <li>Demonstrate commitment to SAM and IT Governance</li> <li>Independent verification of SAM maturity/compliance</li> </ul>
Shared Benefits	<ul style="list-style-type: none"> <li>Controlling Costs</li> <li>Managing License Compliance and Regulatory Risks</li> <li>Increased Efficiency</li> <li>Gained Control</li> <li>Increased Visibility into Environment</li> </ul>		

Available as a handout. Contact me for a copy.



## More on ISO 19770-1 Certification

- When an organization is certified in ISO 19770-1, management and vendors are supposed to be able to rely on the adequacy of the relevant processes. The expected benefits should also be achieved with a high degree of confidence
- liS/itSMF Certification Scheme aligned to itSMF certification scheme for ISO/IEC 20000
- The certification process is currently “all or nothing” with “minor nonconformance” allowed
- Software vendor extensions to standard being developed

## Update on ISO 19770-1 Certification

- As of 9/07, no organization has yet to be fully certified but the model and steps for certification have been developed, tested, and used in a real world environment
- How to Proceed: Recognized Adopter Program (RAP) overseen by Investors in Software (liS)
- Possible introduction of partial or staged certification in the future

*Note: If you are interested in examining either full or partial ISO 19770-1 Certification for your organization, please contact me.*

## Concluding Thoughts

ISO 19770-1, ITIL SAM, and IAITAM's BPL are complementary. While each has unique characteristics, deliverables, and objectives, they not only coexist but also enhance one another. Organizations should actively consider using several models when looking to enhance their SAM/ITAM maturity.

## Questions and Answers

David Yashar,  
Managing Consultant  
Soft-Aid ([www.aid.com](http://www.aid.com))  
271 Salem Street, Unit G  
Woburn, MA 01801  
(voice) 781-569-0410  
[dyashar@aid.com](mailto:dyashar@aid.com)

*Please feel free to contact me  
with your questions in the future*