Colophon

Title: ISO/IEC 20000, a pocket guide

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Acknowledgement

This pocket guide is an initiative of ITSMF, the IT Service Management Forum. In 2004, the Dutch chapter started a project to develop a promotional publication, to stimulate the awareness of the BS 15000 standard and provide a quick reference guide. The project was set up with the help of the international ITSMF community: it was the first ITSMF publication that was produced with the cooperation of all chapters. The IPESC, ITSMF International’s Publication Executive Sub-Committee has contributed to put together the Review team through its network of subject matter experts, and has continuously discussed progress, tackling all issues that came along with this international project.

This Review Team also reviewed the text of this pocket guide when it was updated to reflect the evolution of BS 15000 into ISO/IEC 20000, to make sure it offers the required high quality entry into the field of ISO/IEC 20000.

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We are grateful to these experts, who willingly spent so much of their time on the creation of this pocket guide.
Foreword

The advent of ISO/IEC 20000, which was derived from the British Standard BS 15000, is a testament to the success and popularity of IT Service Management best practices around the world. The recognition of a formal standard helps motivate the service industry further toward service excellence and the means to measure and certify its achievements.

This pocket guide condenses the principles and standards of ISO/IEC 20000 in a manner that helps nurture a basic understanding of the standard, and to serve as a reference to any service provider interested in learning more or perhaps achieving ISO/IEC 20000 certification.

The International itSMF, through the efforts of its International Publications ESC, is proud to endorse this pocket guide as part of a common global library supporting a uniform standard of ITSM knowledge and best practice.

The colophon on the preceding pages identifies the many itSMF chapter representatives who were involved in the review and endorsement of this book.

On behalf of the itSMF global community I wish to thank the IPESC for their continued dedication, effort and commitment in the review and endorsement of this book.

I trust you will find this book informative and enjoyable.

Sharon Taylor,
Chair, International Publications Executive Sub-Committee
itSMF International
Introduction to the pocket guide

The goal of this publication is to provide an easy to read document that explains the nature, content and aim of ISO/IEC 20000. It should bring ISO/IEC 20000 within reach of a vast international audience at a higher speed, by providing an easy accessible pocket guide:

• to promote the awareness and the acceptability of ISO/IEC 20000 as a valid standard for IT Service providers;
• to support ISO/IEC 20000 training and certification;
• to produce a quick reference to the core content of ISO/IEC 20000, for practitioners.

“ISO/IEC 20000, a pocket guide” is aimed at a broad range of practitioners, trainers and students, who work in IT as well as in other environments, ranging from experts in (IT) service provision, to those who are looking for a suitable approach to quality improvement issues. In addition, for customers considering requesting their service providers to become ISO/IEC 20000 certified, they can get an insight into what they can expect from their service providers.

The pocket guide starts with an Introduction to ISO/IEC 20000. This covers the history, the background, the position and the environment of ISO/IEC 20000.

The second chapter describes the formal Structure of the ISO/IEC 20000 standard. This chapter shows you exactly what you should read if you want to go through the details of the standard in the official documents.

Next is a chapter on ISO/IEC 20000 - Overall Management. Here we show you how you can use the standard in a continuous quality improvement approach.
Before going into details of the formal standard we present the **IT Service Management Self-assessment Workbook**. ISO/IEC 20000 is meant to set a specific standard for service providers, which will serve as a target in quality improvement projects. The standard will also be used for assessing the actual position of a service provider. Before you read the details of the standard, you should be aware of the structure of the assessment methodology.

The next chapter is the body of this pocket guide: **ISO/IEC 20000 - Model and Focus Areas**. Here we present the core of the standard, illustrated with example assessment questions.

ISO/IEC 20000 emphasizes the role of communication in service management. For that reason we have added an Appendix with the **Terminology and Definitions** that are used in the standard.

*This way all important elements of ISO/IEC 20000 are brought together in a small and handy quick reference guide, which should support organizations in understanding and applying the standard in their organization. The pocket guide does not replace the standard: for all details you should read the official ISO documents.*
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1 Introduction to ISO/IEC 20000

1.1 History
The IT Infrastructure Library (ITIL) is accepted all over the world as a de facto reference for best practice processes in IT Service Management. It wasn’t until a few years ago that service providers applying the ITIL framework were able to show their compliance, when a formally documented standard became available. In 2000, BSI, the British Standards Institution, officially determined the requirements for the effective delivery of services to the business and its customers, in a British Standard: BS 15000.

The first edition of BS 15000 was published in November 2000, based on an earlier publication - DISC PD0005:1998 - the Code of Practice for IT Service Management. BS 15000-1:2002 became the second edition, which was the result of experience and feedback from early adopters of the first edition. The development of a certification strategy has given a big impulse to the acceptance of BS 15000 as a formal standard.

On 15 December 2005 ISO, the International Organization for Standardization, accepted BS 15000 as a new international ISO standard: ISO/IEC 20000. There are two ways to create an ISO standard: co-operative creation by involved countries, or the fast-track route based upon a national standard. For the acceptation of this British Standard ISO followed the fast-track route. Preceding the acceptation as an ISO standard BS 15000 was already copied and accepted in the national standards bodies of Australia and South-Africa. The acceptance of ISO/IEC 20000 will freeze its content for three years.

Although ISO/IEC 20000 is not formally including the ITIL approach, it describes an integrated set of management processes that are aligned with
and complementary to the process approach defined within ITIL. The individual ITIL books offer expanded information and guidance on the subjects addressed within the scope of ISO/IEC 20000.

The current edition of the *formal specifications* (ISO/IEC 20000-1) is a slightly adapted version of BS 15000-1. The BS 15000 *Code of Practice* (BS 15000-2) had been upgraded to ISO/IEC 20000-2 (Code of Practice). The Code of Practice gives a description of best practices in more detail, and provides guidance and recommendations. This Code of Practice is not part of the requirements.

The transition period for BS 15000 certified organizations to get an ISO/IEC 20000 certificate is 18 months from the publication date of the standard. So after 15 June 2007 certificates issued to BS 15000:2002 part 1 will no longer be valid.

The standard is supported by a practical IT Service Management Self-assessment Workbook (BIP 0015). This publication is an updated version of the *Self-assessment Workbook* (PD0015) that was written for BS 15000.

### 1.2 Changes to the original BS 15000 text

The upgrade to the ISO/IEC 20000 standard caused only minor changes to the original text of BS 15000. Most of these changes were cosmetic and too small to influence the high-level summary of the standard in this pocket guide. The changes that had effect on the first edition of this pocket guide were the following:

- The term 'BS 15000' was replaced with 'ISO/IEC 20000' throughout the book.
- The term 'service organization' was replaced with 'service provider'.
- The term 'third party' was replaced with 'supplier' or 'external'.
- The definitions of 'document' and 'record' were adapted to reflect ISO terminology.
Apart from that, this pocket guide contains some additional text fragments on the certification and accreditation procedures of ISO/IEC 20000.

1.3 The purpose of ISO/IEC 20000

The BS 15000 standard was originally developed by BSI’s IT Service Management committee (BDD/3), using a team of industry experts representing a body of knowledge from a wide range of organizations.

The aim of ISO/IEC 20000 - inherited from BS 15000 - is to "provide a common reference standard for any enterprise offering IT services to internal or external customers". Since communication plays an essential role in service management, one of the most important targets of the standard is to create a common terminology for service providers, their suppliers and their customers.

The standard promotes the adoption of an integrated process approach for the management of IT services. These processes have been positioned in a process model, covering the ITIL Service Support and Service Delivery processes, as well as some additional management processes. It sets out to address everything mandatory for good service management - things that are common to and required by every service management service provider - it does not address local requirements directly.

By collating the core information of the ITIL service management processes in an international formalized standard, BSI and now ISO have enabled service providers to determine formal compliancy to these best practices. Until BS 15000 was created the formal certification was focused at *individuals* (ITIL Foundation, ITIL Service Manager, ITIL Practitioner), not at *organizations*. The development of an international organization-focused certificate will stimulate further acceptance of IT service management as an important field.
1.4 Relation to ITIL

As BS 15000 had been aligned to the IT Infrastructure Library (ITIL) Framework defined in the Service Support (2000) and Service Delivery (2001) volumes, ISO/IEC 20000 still is. ITIL is a set of best practices, while ISO/IEC 20000 is a formal set of specifications that a service provider should aim for - to be able to provide high quality services. Applying IT Infrastructure Library best practices will assist a service provider in achieving the quality of service management required by ISO/IEC 20000. BS 15000 and ITIL and now ISO/IEC 20000 have evolved together, with many common contributors.

The relationship between ISO/IEC 20000 and ITIL is illustrated in figure 1.

ISO/IEC 20000 covers all the explicit ITIL processes from the Service Support and Service Delivery books and Security Management, and also some additional processes which are only partly covered in current ITIL publications. Table 1 illustrates this.
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Table 1. Cross reference between processes in ISO/IEC 20000 and ITIL

1.5 Relation to other standards

The current edition of the formal specifications (ISO/IEC 20000) has been adopted with slight adaptations from the BS 15000-1 version. The transition period for current BS 15000 certified organizations to obtain ISO/IEC certification is 18 months from the publication date or 15 June 2007. After this date, certificates issued to BS 15000 Part 1 organizations will no longer be valid.

One of the ISO/IEC 20000 Service Delivery processes is Information security management. ISO/IEC 17799 provides guidance on information
security management. Organizations certified to ISO/IEC 27001 will satisfy the security requirements within ISO/IEC 20000-1.

1.6 Stakeholders

British Standards Institution (BSI) are the formal owners of BS 15000. Many international professional bodies were stakeholders in BS 15000:

• The IT Service Management Forum in the UK (itSMF-UK) was administering the formal certification.
• The British Computer Society (BCS) was involved in the BSI team that developed BS 15000.
• The Office of Government Commerce (OGC) was also involved in the BSI development team, and is the owner of ITIL - which made BS 15000 very important for OGC as a supporting structure for ITIL. BS 15000 was highly relevant for OGC as a means to their policy to require the use of standards as a prerequisite for working for UK government in a particular area.
• International stakeholders in relevant countries where the standard had been adopted.

The UK ITSMF chapter published a Transition Statement that explains how the validity of BS 15000 certifications will end ultimately within 18 months after the official publication of ISO/IEC 20000. This means that after 15th June 2007, BS 15000 certificates will cease having validity.

Different from BS 15000, ISO/IEC 20000 is managed by the International Organization for Standardization (ISO). ISO is a network of the national standards institutes of 156 countries, on the basis of one member per country, with a Central Secretariat in Geneva, Switzerland, that coordinates the system. ISO is the world’s largest developer of standards.
1.7 Accreditation and Certification

Organizations can be assessed for conformity with ISO/IEC 20000 and - if the assessment was positive - they can be certified by official Certification Bodies. Certification bodies need to get accreditation from an Accreditation Organization in a country that is a member of ISO.

The ISO/IEC 20000 standard follows standardized international rules, according to ISO. All countries that are a member of the ISO organization have their own national accreditation bodies, and these accreditation bodies have the invested power to grant certification bodies the right to certify organizations against ISO 20000.

The ITSMF Transition Statement explains how certification bodies that want to act under the British arrangement will have to register with ITSMF-UK, in a cooperation arrangement with the United Kingdom Accreditation Service (UKAS). Certification bodies in other ISO countries can arrange an accreditation with their own, local accreditation organization. Once officially accredited to assess and certify companies against ISO/IEC 20000, they can offer their services anywhere in the market, including the UK, according to standard ISO policies.

The accreditation that ITSMF-UK had in place for Course Providers is not applicable to Course providers of ISO/IEC 20000.

The publication of the international ISO/IEC 20000 standard illustrates a step ahead in the global acceptance of ITIL as common best practice, accepted – and managed - by a global community. It is expected that this certification will soon become a default requirement in many contractual arrangements, specifically in larger outsourcing deals.

Apart from professional bodies there is a huge field of service providers, auditors, government & non-commercial organizations, that have an interest in the availability of a widely accepted standard for organizational quality.
1.8 Training
In 2004, ITSMF-UK, the owners of the certification scheme for BS 15000, initiated a series of BS 15000 training courses. These courses have since been adapted to ISO/IEC 20000. To date, many organizations around the world offer ISO/IEC 20000 training courses, further demonstrating the wide initial interest in ISO/IEC 20000.

1.9 Certification
Although services providers can claim their compliance with the specifications of the ISO/IEC 20000 standard, a formal audit and certification will carry significantly more weight.

- Service providers that want be certified against the ISO/IEC 20000 standard can contact one of the Registered Certification Bodies (RCBs) anywhere in the world, and apply for certification.
- RCBs are assessed and approved by the certification scheme owner. RCBs will be screened thoroughly for independency and competence. RCB applications are accepted only when coming from Certification Bodies who are accredited by their relevant national accreditation body. Note that an RCB cannot be a company providing ITIL consultancy services because of the conflict of interest; an audit must be independent hence the need to separate audit from consultancy services. The list of accredited RCBs is available from the scheme owner.
- The RCBs will certify IT service providers against the requirements of the standard and issue a certificate.
- Certified service providers are permitted to use the official logo, in accordance with specified restrictions and requirements, and are listed at a public web page.
- Certified service providers will be re-assessed on a regular basis to confirm their compliance to ISO/IEC 20000.

You can find additional information on the procedure, the RCBs, the certified service providers, and the latest news on ISO/IEC 20000 certification via www.bs15000certification.com.
Figure 2. The ISO/IEC 20000 certification logo
2 Structure of the ISO/IEC 20000 standard

2.1 Core material
ISO/IEC 20000 standard is composed of two parts, under the general title Information Technology - Service Management:

• **Part 1: Specification** (the Standard); published as ISO/IEC 20000-1: 2005. This is the formal specification of the standard.


In general, Part 1 of the standard contains a list of mandatory controls, “shall”, that service providers must comply with, in order to be certified. Whereas Part 2 contains a list of guidelines and suggestions that “should” be addressed by service providers wishing to be certified.

To make clear which parts of this pocket guide text refer to Part I (the "shall") and which refer to Part II (the "should"), the text of Part I text has been formatted differently.

This is the format that is used for the prescriptive text originating from Part I.

2.2 Supporting material
ISO/IEC 20000 may also be used in conjunction with the following BSI publication:

• **IT Service Management Self-assessment Workbook**: published as BIP 0015. The Self-assessment Workbook is a checklist that complements this specification. This Workbook has been designed to assist organizations to assess the extent to which their IT services conform to the specified requirements.
At www.bsi-global.com there are more books related to ISO/IEC 20000.
3 ISO/IEC 20000 - Overall management

Using ISO/IEC 20000 requires a well-balanced approach, using management techniques, policies and other management instruments.

To illustrate how the Self-assessment Workbook (BIP 0015) addresses all the requirements of the ISO/IEC 20000 standard, an example question from the workbook is added to relevant paragraphs.

3.1 Scope

In today’s business the need to demonstrate the ability to provide services that meet customer requirements is evident. This can be achieved by standardization of service management processes. The specification as applied in ISO/IEC 20000 represents an industry consensus on quality standards for IT service management processes.

It can be used by service providers to:

• monitor and improve their service quality;
• benchmark their IT management services;
• serve as the basis for an independent assessment which may lead to formal certification;
• demonstrate the ability to provide services that meet customer requirement

Service delivery is defined in a number of closely related service management processes, organized in process groups (figure 3). Considering the variety of specific business needs, a service provider may decide that additional objectives and controls are necessary.
3.2 Communication

One of the most important issues in managing organizational change is communication. First of all we need to have a common language. This is covered by the reference ISO/IEC 20000 makes towards ITIL and the ITIL terminology and definitions. Secondly we need to see sufficient attention for communication in the procedures and policies of the organization. This is covered in the detailed requirements of the standard.

The core terminology that is used in this pocket guide is listed in an appendix.

3.3 Requirements for a management system

Objective: To provide a management system, including policies and a framework to enable the effective management and implementation of all IT services.

Even if processes are well defined, a systematic approach of IT services is needed to meet the standard. Management shall be well aware of their responsibilities to facilitate the framework needed to implement and maintain IT services. The role of management and their responsibilities shall be clear, and proper documentation shall be guaranteed.
Management responsibilities

Management shall:

• establish the service management policy, objectives and plans;
• communicate the importance of meeting the service management objectives and the need for continual improvement;
• ensure that customer requirements are determined and are met, with the aim of improving customer satisfaction;
• appoint a member of management responsible for the co-ordination and management of all services;
• determine and provide resources to plan, implement, monitor, review and improve service delivery and management e.g. recruit appropriate staff, manage staff turnover;
• manage risks to the service management organization and services;
• conduct reviews of service management, at planned intervals, to ensure continuing suitability, adequacy and effectiveness.

To ensure commitment an owner at senior level should be identified as being responsible and accountable for the service management plan, and for the delivery of the plan. This senior owner should be supported by a decision-taking group with sufficient authority.

Example assessment question:

• Do individuals, appointed by service management and customers, have the appropriate authority to properly represent their respective organizations?

Documentation requirements

Service providers shall provide documentation and records to support the management processes such as effective planning, operation and control, including:

• policies and plans;
• Service Level Agreements (SLAs);
• procedures and processes;
• records required by ISO/IEC 20000.
Procedures and responsibilities shall be established for the creation, review, approval, maintenance, disposal and control of documents and records.

The senior responsible owner should ensure that evidence is available for an audit of service management policies, plans and procedures.

There should be a process for the creation and management of documents and documentation should be protected from damage.

Example assessment question:
• Is there a published policy on service improvement?

**Competence, awareness and training**
Staff shall be aware of the relevance and importance of their activities within the wider business context and how they contribute to the achievement of quality objectives. To ensure that service management staff is competent, the required competence for each role shall be determined.

A training plan should ensure that requirements for new or expanded services are met.

Example assessment question:
• Are staff competencies and training needs reviewed and managed such that the staff can deliver their responsibilities effectively?

### 3.4 Planning and implementing service management
In planning and implementing service management a range of processes, decisions and responsibilities are to be dealt with. Questions that will rise are: what are customer requirements; which business processes are to be supported; who will perform which activity and when; what are the financial and infrastructural resources available; when are objectives met.
In order to analyze this information and monitor progress in the field of IT service processes, Deming’s Quality Circle (PDCA: Plan-Do-Check-Act) can be applied (figure 4).

The model assumes that to provide appropriate quality, the following steps must be undertaken repeatedly:

- **Plan** - establish the objectives and processes necessary to deliver the results. This stage is completed with agreements that are measurable and realistic, and a plan of how they are to be achieved.
- **Do** - implement the processes.
- **Check** - monitor and measure processes and services against policies, objectives and requirements.
- **Act** - identify actions to continually improve performance.

By going through this cycle again and again, a step-by-step quality improvement can be assured. This is known as the ‘uphill cycle of never-ending improvement’ (figure 5).
Documentation is very important in successful application of the PDCA model. As the output of each activity is the input of the next activity in the model, a constant feedback is realized and transparency in relationships between processes is created.

**Plan service management (PLAN)**

**Objective:** To plan the implementation and delivery of service management.

Planning is the part of the process where management provides direction and documented responsibilities. Service management planning should translate customer requirements into tangible service targets, providing a route map for directing progress.

The overall Service Management Plan shall at a minimum define:

- the scope of the service provider’s service management (this should be checked for suitability under ISO/IEC 20000-1);
- the objectives to be achieved;
- processes to be executed; examples are: implementation, delivery, changes and improvement of service management processes.
- management roles and responsibilities;
- translation of the service management processes into activities;
• the approach of identifying, assessing and managing issues and risks;
• resources, facilities and budget;
• methods to manage, audit and improve the quality of the service.

All plans shall be reviewed, authorized and communicated. Any process specific plans shall be compatible with the Service Management Plan.

Example assessment question:
• Is there clear management direction and documented responsibility for reviewing, authorizing, communicating, implementing and maintaining the service management plan?

Implement service management and provide the services (DO)

Objective: To implement the service management objectives and plan.

The Service Management Plan shall be implemented by the following actions:
• allocation of budgets, roles and responsibilities;
• managing budgets and facilities;
• co-ordination of service management processes;
• recruiting and developing staff and staff continuity;
• managing teams, including service desk and operations;
• documenting and maintaining plans and policies, procedures and definitions for each process;
• reporting progress against plans;
• identify and manage risks to the service.

To achieve ISO/IEC 20000 the original service management plan shall explicitly meet the requirements of the standard.

Once implemented, the organization should stay focused at maintaining and improving the processes and the achieved service quality. This may mean that staff responsible for the implementation will be exchanged by
suitable other staff, responsible for the ongoing operation.

Example assessment question:

- Are all IT service management policies, plans, procedures and definitions formally documented?

**Monitoring, measuring and reviewing (CHECK)**

*Objective:* To monitor, measure and review that the service management objectives and plan are being achieved.

The service provider shall demonstrate the effectiveness of processes by means of monitoring and measuring. Management shall conduct reviews at planned intervals to determine whether the service management requirements:

- conform with the service management plan and to the requirements of the standard;
- are effectively implemented and maintained.

To conduct reviews, all services should be monitored, measured and analyzed. Items to monitor, measure and analyze are:

- achievements against defined service targets;
- customer satisfaction;
- resource utilization and trends;
- non-conformities.

An audit programme shall be planned, taking into consideration:

- status and importance of the processes;
- definition of criteria, scope, frequency and methods;
- results of previous audits;
- selection of auditors (auditors shall not audit their own work);
- communication of results to relevant parties;
- identification of significant areas of noncompliance.
The results of reviews and audits provide input to the next step in the PDCA cycle: act to improve service processes.

Example assessment question:

- Are the current service levels recorded so improvements can be measured at a later date?
- Is the implementation and operation of the service management plan audited independently of those who are responsible for it?

**Continual improvement (ACT)**

**Objective:** To improve the effectiveness and efficiency of service delivery and management.

A published policy is required, with clear definitions of roles and responsibilities for service improvement activities. Any non-compliance with the service management plans shall be remedied. A service improvement plan shall be used to handle all suggested service improvements. A specific process is required for handling the service improvements.

The service improvement plan and process shall cover:

- relevant inputs about improvement and set targets;
- how to identify, plan, communicate and implement improvement;
- how to measure, report and communicate the improvements;
- how to revise service management policies, plans, processes and procedures where necessary;
- how to ensure that all approved actions are delivered and that they achieve their intended objectives.

Improvements concerning individual processes can be managed by the process owner. Major service improvements, e.g. improvements across the organization or across more than one process, shall be managed as a project or as several projects.
Before implementing a service improvement plan, service quality and levels shall be recorded as a baseline against which the actual improvements can be compared.

The actual improvement should be compared to the predicted improvement to assess the effectiveness of the change.

Service management staff should be very aware of the service quality policy, the processes, and their own contribution to this. This policy is based on the perception that there are always opportunities to make delivery of services more effective and efficient.

**Example assessment question:**
- Does the operation of the Service Management Programme demonstrate evidence of continuous improvement in service quality?

### 3.5 Planning and implementing new or changed services

**Objective:** To ensure that new services and changes to services will be deliverable and manageable at the agreed cost and service quality.

Any new or changed service shall be planned and implemented according to procedures described in the previous section. The cost, organizational, technical and commercial impact of any proposed new or changed service shall be considered, including a thorough impact analysis.

New or changed services, including closure of a service, shall be planned and implemented through formal change management. The plans need to cover:
- roles and responsibilities for implementing, operating and maintaining the new or changed service;
• changes to the existing service management framework and services;
• communication to the relevant parties;
• new or changed contracts and agreements to align with the changes in business need;
• manpower and recruitment requirements;
• skills and training requirements, e.g. users, technical support;
• processes, measures, methods and tools to be used in connection with the new or changed service;
• budgets and time-scales;
• service acceptance criteria;
• the expected outcomes from operating the new service expressed in measurable terms.

All service changes should be reflected in Change Management records.

Example assessment question:
• Are proposals for new or significantly changed services considered in terms of the potential cost, organizational, technical and commercial impact?