

ISO 20000-1:2005 Requirements Summary

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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.

3.1 Management Responsibility

Top management, through leadership and actions, must provide evidence of its commitment to developing, implementing, and improving service management capability within the context of the organization's business and customers' requirements.

Management must:

- Establish the service management policy, objectives, and plans
- Communicate the importance of meeting the service management objectives and the need for continual improvement
- Ensure the customer requirements are determined and met with the aim of improving customer satisfaction
- Appoint a member of management responsible for the coordination 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 and manage staff turnover
- Manage risks to the service management organization and services, and
- Conduct reviews of service management, at planned intervals, to ensure continuing suitability, adequacy, and effectiveness

3.2 Documentation Requirements

Provide documents and records to ensure effective planning, operation, and control of service management. This must include:

- Documented service management policies and plans
- Documented service level agreements
- Documented processes and procedures required by ISO 20000
- Records required by ISO 20000

Establish procedures and responsibilities for the creation, review, approval, maintenance, disposal, and control of the various types of documents and records.

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3.3 Competence, Awareness, and Training

Define and maintain all service management roles and responsibilities, along with the competencies needed to execute them effectively.

Review and manage staff competencies and training needs to enable staff to perform their role effectively.

Top management must ensure its employees are aware of the relevance and importance of their activities and how they contribute to the achievement of the service management objectives.

4. Planning and Implementing Service Management

4.1 Plan Service Management (PLAN)

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

Plan service management to define at a minimum:

- Scope of the service provider's service management
- Objectives and requirements to be achieved by service management
- Processes to be executed
- Framework of management roles and responsibilities, including senior responsible owner, process owner, and management of suppliers
- Interfaces between service management processes and the manner in which activities are to be coordinated
- Approach to be taken in identifying, assessing, and managing issues and risks to achievement of defined objectives
- Approach for interfacing to projects that are creating or modifying services
- Resources, facilities, and budget necessary to achieve defined objectives
- Tools as appropriate to support processes
- How quality of service will be managed, audited, and improved

Establish clear management direction and documented responsibilities for reviewing, authorizing, communicating, implementing, and maintaining the plans. Any process specific plans must be compatible with this service management plan.

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4.2 Implement Service Management and Provide the Services (DO)

Objective: To implement the service management objectives and plan.

Implement the service management plan to manage and deliver the services, including:

- Allocation of funds and budgets
- Allocation of roles and responsibilities
- Documenting and maintaining policies, plans, procedures, and definitions for each process or set of processes
- Identification and management of risks to the service
- Managing teams, e.g., recruiting and developing appropriate staff and managing staff continuity
- Managing facilities and budget
- Managing the teams, including service desk and operations
- Reporting progress against the plans, and
- Coordination of service management processes

4.3 Monitoring, Measuring, and Reviewing (CHECK)

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

Apply suitable methods for monitoring and, where applicable, measurement of the service management processes. Use these methods to demonstrate the ability of the processes to achieve planned results.

Conduct management reviews at planned intervals to determine whether the service management requirements:

- Conform with the service management plan and ISO 20000 requirements, and
- Are effectively implemented and maintained

Plan an audit program, taking into consideration the status and importance of the processes and areas to be audited, as well as, the results of previous audits. Define the audit criteria, scope, frequency, and methods in a procedure. Select auditors and conduct audits to ensure objectivity and impartiality of the audit process. Auditors cannot audit their own work.

Record the objective of service management reviews, assessments, and audits together with the findings of such audits and reviews, as well as, any remedial actions identified.

Communicate to relevant parties any significant areas of noncompliance or concern.

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4.4 Continual Improvement (ACT)

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

4.4.1 Policy

Develop a published policy on service improvement. Remedy any noncompliance with ISO 20000 or service management plans. Clearly define roles and responsibilities for service improvement activities.

4.4.2 Management of Improvements

Assess, record, prioritize, and authorize all suggested service improvements. Use a plan to control the activity.

Have a process in place to identify, measure, report, and manage improvement activities on an ongoing basis, including:

- Improvements to an individual process implemented by the process owner with the usual staff resources, e.g., performing individual corrective and preventive actions, and
- Improvements across the organization or across more than one process

4.4.3 Activities

Perform activities to:

- Collect and analyze data to baseline and benchmark the service provider's capability to manage and deliver service management processes
- Identify, plan, and implement improvements
- Consult with all parties involved
- Set targets for improvements in quality, costs, and resource utilization
- Consider relevant inputs about improvements from all the service management processes
- Measure, report, and communicate the service improvements
- Revise the service management policies, processes, procedures, and plans where necessary, and
- Ensure all approved actions are delivered and that they achieve their intended objectives

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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.

Consider in proposals for new or changed services, the cost, organizational, technical, and commercial impact that could result from service delivery and management.

Plan and approve, through formal change management, the implementation of new or changed services, including the closure of a service.

Include adequate funding and resources to make the changes needed for service delivery and management. The plans must include:

- Roles and responsibilities for implementing, operating, and maintaining the new or changed service, including activities performed by customers and suppliers
- 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, e.g., capacity management and financial management
- Budgets and time-scales
- Service acceptance criteria, and
- Expected outcomes from operating the new service expressed in measurable terms

Accept new or changed services before implementing them into the live environment.

Report on the outcomes achieved by the new or changed service against those planned following implementation. Perform through the change management process a post implementation review to compare the actual outcomes against those planned.

6. Service Delivery Process

6.1 Service Level Management

Objective: To define, agree, record, and manage levels of service.

Gain agreement by the parties and record the full range of provided services, together with the corresponding service level targets and workload characteristics.

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Define, agree on, and document each service in one or more service level agreements (SLAs).

Gain agreement by all relevant parties and record the SLAs, together with supporting support agreements, supplier contracts, and corresponding procedures. .

Place the SLAs under the control of the change management process. Maintain the SLAs by regular reviews by the parties to ensure they are up-to-date and remain effective over time.

Monitor and report service levels against targets, showing both current and trend information. Report and review the reasons for nonconformance. Record actions for improvement identified during this process and provide input to a plan for improving service.

6.2 Service Reporting

Objective: To produce agreed to, timely, reliable, accurate reports for informed decision making and effective communication.

Clearly describe each service report, including its identity, purpose, audience, and details of the data source. Produce service reports to meet identified needs and customer requirements, as well as, include:

- Performance against service level targets
- Noncompliance issues, e.g., against the SLA, security breach
- Workload characteristics, e.g., volume, resource utilization
- Performance reporting following major events, e.g., major incidents and changes
- Trend information
- Satisfaction analysis

Consider the findings in the service reports for management decisions and corrective actions and communicate these decisions and actions to relevant parties.

6.3 Service Continuity and Availability Management

Objective: To ensure that agreed service continuity and availability commitments to customers can be met in all circumstances.

Identify availability and service continuity requirements on the basis of business plans, SLAs, and risk assessments. Include access rights and response times, as well as, end to end availability of system components in the requirements.

Develop and review at least annually the availability and service continuity plans to ensure that requirements are met as agreed in all circumstances from normal through to a major loss of service. Maintain these plans to ensure they reflect agreed changes required by the business.

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Re-test the availability and service continuity plans at every major change to the business environment. Use the change management process to assess the impact of any change on these plans.

Measure and record the service availability. Investigate and take the appropriate actions for any unplanned non-availability.

Make service continuity plans, contact lists, and the configuration management database available when normal office access is prevented. Include in the service continuity plan the return to normal working.

Test the service continuity plan in accordance with business needs. Record all continuity tests and formulate test failures into action plans.

6.4 Budgeting and Accounting for IT Services

Objective: To budget and account for the cost of service provision.

Establish clear policies and processes for:

- Budgeting and accounting for all components, including IT assets, shared resources, overheads, externally supplied service, people, insurance, and licenses
- Apportioning indirect costs and allocating direct costs to services
- Effective financial control and authorization

Budget costs in sufficient detail to enable effective financial control and decision making. Monitor and report costs against the budget, review the financial forecast, and manage costs accordingly.

Changes to services must be costed and approved through the change management process.

6.5 Capacity Management

Objective: To ensure service provider has, at all times, sufficient capacity to meet the current and future agreed to demands of the customer's business needs.

Produce and maintain a capacity plan as part of capacity management. Address business needs and include within capacity management:

- Current and predicted capacity and performance requirements
- Identified time-scales, thresholds, and costs for service upgrades
- Evaluation of effects of anticipated service upgrades, requests for change, new technologies, and techniques on capacity
- Predicted impact of external changes, e.g., legislative

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- Data and processes to enable predictive analysis

Identify methods, procedures, and techniques to monitor service capacity, tune service performance, and provide adequate capacity.

6.6 Information Security Management

Objective: To manage information security effectively within all service activities.

Gain approval (by management with appropriate authority) of an information security policy and communicate it to all relevant personnel and customers (where appropriate).

Include appropriate security controls to:

- Implement the requirements of the information security policy
- Manage risks associated with access to the service or systems

Document the security controls. Describe in the documentation the risks to which the controls relate, and the manner of operation and maintenance of the controls.

Assess the impact of changes on controls before changes are implemented.

Base any arrangements that involve external organizations having access to information systems and services on a formal agreement that defines all necessary security requirements.

Report and record any security incidents in line with the incident management procedure as soon as possible. Establish procedures to ensure all security incidents are investigated and management action taken.

Establish mechanisms to enable the types, volumes, and impacts of security incidents and malfunctions to be quantified and monitored. Record actions for improvements identified during this process and provide input into a plan for improving service.

7. Relationship Processes

7.1 General

Relationship processes describe the two related aspects of Supplier Management and Business Relationship Management.

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7.2 Business Relationship Management

Objective: To establish and maintain a good relationship between the service provider and the customer based on understanding the customer and their business drivers.

Identify and document the stakeholders and customers of the services.

Conduct a service review with the customer to discuss any changes to the service scope, SLA, contract (if present) or the business needs at least annually. Hold interim meetings at agreed intervals to discuss performance, achievements, issues, and action plans. Document the meetings.

Other stakeholders may also be invited to the meetings.

Make changes to the contract(s), if present, and SLA(s) after these meetings as appropriate. Submit these changes to the change management process.

Remain aware of business needs and major changes in order to prepare to respond to these needs.

Establish a complaints process. Agree with the customer on the definition of a formal service complaint. Record, investigate, act upon, report, and formally close all formal service complaints. Provide escalation path to customer where a complaint is not resolved through normal channels.

Name an individual or individuals who are responsible for managing customer satisfaction and the whole business relationship process. Establish a process for obtaining and acting upon feedback from regular customer satisfaction measurements. Record actions for improvement identified during this process and input into a plan for improving the service.

7.3 Supplier Management

Objective: To manage suppliers to ensure the provision of seamless, quality services.

Document supplier management processes and name a contract manager responsible for each supplier.

Document in SLA (or other documents) and have all parties agree upon the requirements, scope, level of service, and communication processes to be provided by supplier(s).

Align SLAs with the suppliers with the SLA(s) with the business.

Document and agree upon the interfaces between processes used by each party.

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Clearly document all the roles and relationships between the lead and subcontracted suppliers. Require lead suppliers to demonstrate processes to ensure that subcontracted suppliers meet contractual requirements.

Conduct a major review of the contract or formal agreement at least annually to ensure that business needs and contractual obligations are still being met.

Change contract(s), if present, and SLA(s) after these reviews as appropriate, or at other times as required. Subject any changes to the change management process.

Establish a process to deal with contractual disputes.

Establish a process to deal with the expected end of service, early end of service, or transfer of service to another party.

Monitor and review performance against service level targets. Record actions for improvement identified during this process and input into a plan for improving the service.

8. Resolution Processes

8.1 Background

Incident and problem management are separate processes, although they are closely linked.

8.2 Incident Management

Objective: To restore agreed service to the business as soon as possible or to respond to service requests.

Record all incidents. Adopt procedures to manage the impact of incidents.

Define in procedures the recording, prioritization, business impact, classification, updating, escalation, resolution, and formal closure of all incidents.

Keep the customer informed of the progress of their reported incident or service request and alerted in advance if their service levels cannot be met and an action agreed.

Give access to all staff involved in incident management to relevant information such as known errors, problem resolutions, and the configuration management database.

Classify and manage major incidents according to a process.

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8.3 Problem Management

Objective: To minimize disruption to the business by proactive identification and analysis of the cause of incidents and by managing problems to closure.

Record all identified problems. Adopt procedures to identify, minimize, or avoid the impact of incidents and problems. Define in procedures the recording, classification, updating, escalation, resolution, and closure of all problems.

Take preventive actions to reduce potential problems, e.g., following trend analysis of incident volumes and types.

Pass to the change management process any changes required to correct the underlying cause of problems. Monitor, review, and report on effectiveness of problem resolution.

Ensure problem management is responsible for making up-to-date information on known errors and corrected problems to incident management.

Record actions for improvement identified during this process and input into a plan for improving the service.

9. Control Processes

9.1 Configuration Management

Objective: To define and control the components of the service and infrastructure and maintain accurate configuration information.

Establish an integrated approach to change and configuration management planning. Define the interface to financial asset accounting processes (which fall outside the scope of this section).

Define a policy on what is defined as configuration item and its constituent components. Define the information to be recorded for each item and include the relationships and documentation necessary for effective service management.

Provide through configuration management the mechanisms for identifying, controlling, and tracking versions of identifiable components of the service and infrastructure. Ensure the degree of control is sufficient to meet the business needs, risk of failure, and service criticality.

Provide information through configuration management to the change management process on the impact of a requested change on the service and infrastructure configurations. Changes

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to configuration items must be traceable and auditable where appropriate, e.g., for changes and movements of software and hardware.

Use configuration control procedures to ensure that the integrity of systems, services, and service components are maintained.

Take a baseline of the appropriate configuration items before a release to the live environment.

Control master copies of digital configuration items in secure physical or electronic libraries and referenced in configuration records, e.g., software, testing products, support documents.

Uniquely identify and record all configuration items in a CMDB which has update access strictly controlled. Manage and verify the CMDB to ensure its reliability and accuracy. Make the status of configuration items, their versions, location, related changes and problems, and associated documentation visible to those who require it.

Include in the configuration audit procedures recording deficiencies, initiating corrective actions, and reporting on the outcome.

9.2 Change Management

Objective: To ensure all the changes are assessed, approved, implemented, and reviewed in a controlled manner.

Clearly define and document the scope of the service and infrastructure changes. Record and classify all requests for change, e.g., urgent, emergency, major, minor. Assess requests for change for their risk, impact, and business benefit.

Include in the change management process the manner in which the change must be reversed or remedied if unsuccessful.

Approve and check changes, and implement in a controlled manner. Review all changes for success and any actions taken after implementation.

Control through policies and procedures the authorization and implementation of emergency changes.

Use the scheduled implementation dates of changes as the basis for change and release scheduling. Maintain a schedule containing details of all the changes approved for implementation and their proposed implementations dates. Communicate the schedule to relevant parties.

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Analyze regularly the change records to detect increasing levels of changes, frequently recurring types, emerging trends, and other relevant information. Record the results and conclusions drawn from change analysis.

Record actions for improvement identified during change management and input into a plan for improving the service.

10. Release Process

10.1 Release Management Process

Objective: To deliver, distribute, and track one or more changes in a release into the live environment.

Document and agree upon the release policy stating the frequency and types of releases.

Plan the release of services, software, and hardware with the business. Gain agreement and authorization by all relevant parties (e.g., customers, users, operations and support staff) on the plans on how to roll out the release.

Include in the process the manner in which the release will be reversed or remedied if unsuccessful.

Record in the plan the release dates and deliverables and refer to related change requests and known errors and problems. Pass suitable information through the release management process to the incident management process.

Assess change requests for their impact on release plans. Include in the release management procedures the updating and changing of configuration information and change records. Manage emergency releases according to a defined process that interfaces to the emergency change management process.

Establish a controlled acceptance test procedure to build and test all releases prior to distribution.

Design and implement release and distribution so the integrity of hardware and software is maintained during installation, handling, packaging, and delivery.

Measure the success and failure of releases. Include measurements of incidents related to a release in the period following a release. Include in the analysis the assessment of the impact on the business, and IT operations and support staff resources. Provide input to a plan for improving the service.