

# ISO/IEC 20000 Part 1 – the next edition



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# Synopsis

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- ISO/IEC 20000 part 1 was published in 2005. Since then, the International Standards (ISO) committee responsible for ISO20000 has been working on improvements based on input from almost 20 countries.
- The next edition of ISO20000 part 1 is expected to be published in early 2011.
- Lynda will present on what will be different, why it has changed and how organizations can prepare for the new edition.

# Agenda

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- Background
  - Why has it changed
  - Changes
    - ITIL3 impact
    - New requirements
    - Changed requirements
  - How to prepare for the new edition
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- ISO/IEC 20000 will be referred to by its more commonly known title of ISO20000

# Warning

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- ❑ Handouts may differ from slides due to changes made last week to part 1
- ❑ Slides are up to date by May 28th
- ❑ The changes specified for part 1 are not final – there may be further minor changes before publication

# ISO20000 Part 1 - 2011

Why change?



# Why change?

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- ❑ All standards must be reviewed every 5 years
- ❑ Comments deferred from publication of 2005 edition
- ❑ Many improvements suggested
  - as the committee grew to more than 20 countries
  - as companies started to gain certification
- ❑ Closer alignment to 9001
- ❑ Closer alignment to ISO27001
- ❑ Publication of ITIL3
- ❑ Review of interfaces between processes
- ❑ Consistent and international terminology

# Process of change

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- ISO process
- Work groups – WG25 has > 20 country members
- Long and complex process
  - Many stages
  - Comment resolution
  - Ballots
- Compromise, negotiation, consensus

# Japanese input

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- Japan is one of the most active members of the ISO committee WG25
  - Very high influence on the content of the new edition of the standard
- Changes to reflect international language
  - Japan is an excellent auditor for our use of English!



# ISO20000 and ITIL3



# ISO20000 and ITIL

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- Commitment to alignment between ISO/IEC 20000 and ITIL so that adoption of ITIL can position a service provider for achieving ISO/IEC 20000
  
- *'ITIL and ISO/IEC 20000 are aligned'*
  - ITIL is not based on ISO/IEC 20000
  - ISO/IEC 20000 is not based on ITIL
  
- The links between ITIL and ISO/IEC 20000 are ones of spirit and intent, not of control
  - Both serve very different purposes and are therefore different in intent, structure, format, style and detail
  
- The standard does not exactly reflect ITIL3 but it has been updated to reflect those aspects of ITIL3 which are considered to be acceptable improvements by the International Standards Committee to support the certification of an excellent service management system

# Alignment to ITIL3

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- Design and Transition introduced
- More clarity on request fulfilment
- Separation and clarity of release as the noun and deployment as the verb e.g. The release shall be deployed into the live environment

# Items not taken from ITIL3

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- Lifecycle stages
  - ISO20000 is a process based standard and as such does not have a lifecycle
  - However, it can be mapped onto the design, transition, operation and improvement stages
  - The SMS general requirements in clause 4 can be partly mapped onto the strategy stage
- Functions
  - All standards need to be independent of organisational structure

# ITIL3 Processes not in ISO20000

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- Strategy Generation
- Service Portfolio Management
- Demand Management
- Service Catalogue Management
- Transition planning and support
- Testing and evaluation
- Access Management
- Asset management
- Event Management
- Request Fulfilment
- 7-Step Improvement Process
- Service Measurement
- Knowledge Management

All are partially covered in ISO20000  
but not explicitly named

# A random example.....

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## ISO20000 Part 1

- Configuration Management Database (CMDB)
- data store used to record attributes of configuration items, and the relationships between configuration items throughout their lifecycle

## ITIL V3

- Configuration Management System (CMS) as a set of databases, tools used to manage
- configuration data and data such as incident, problem ... employee data ... locations ... users.

CMS is not a new name for a CMDB. CMS may contain several CMDBs as well as tools and a wide range of data types collected for many different purposes.

The difference is not a barrier to achieving Part 1 the requirements

# Part 1 - 2011

## Key changes



# Structure of new standard

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<b>2011 Edition</b>	<b>2005 Edition</b>
1.1 Introduction 1.1 General 1.2 Application	1. Introduction
2. Normative references	
3. Terms and definitions	2. Terms and definitions
4. Service management system general requirements 4.1 Management responsibility 4.2 Governance of processes operated by other parties 4.3 Documentation requirements 4.4 Resource management 4.5 Establish the SMS - Establish the scope, Plan, Do, Check, Act	3. Requirements for a management system 3.1 Management responsibility 3.2 Documentation requirements 3.3 Competence, awareness and training 4. Planning and implementing service management - Plan, Do, Check, Act



## Structure of new standard 2

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<b>2011 Edition</b>	<b>2005 Edition</b>
5. Design and transition of new or changed services	5. Planning and implementing new or changed services
6.1 Service level management	6.1 Service level management
6.2 Service reporting	6.2 Service reporting
6.3 Service continuity and availability management	6.3 Service continuity and availability management
6.4 Budgeting and accounting for services	6.4 Budgeting and accounting for services
6.5 Capacity management	6.5 Capacity management
6.6 Information security management	6.6 Information security management

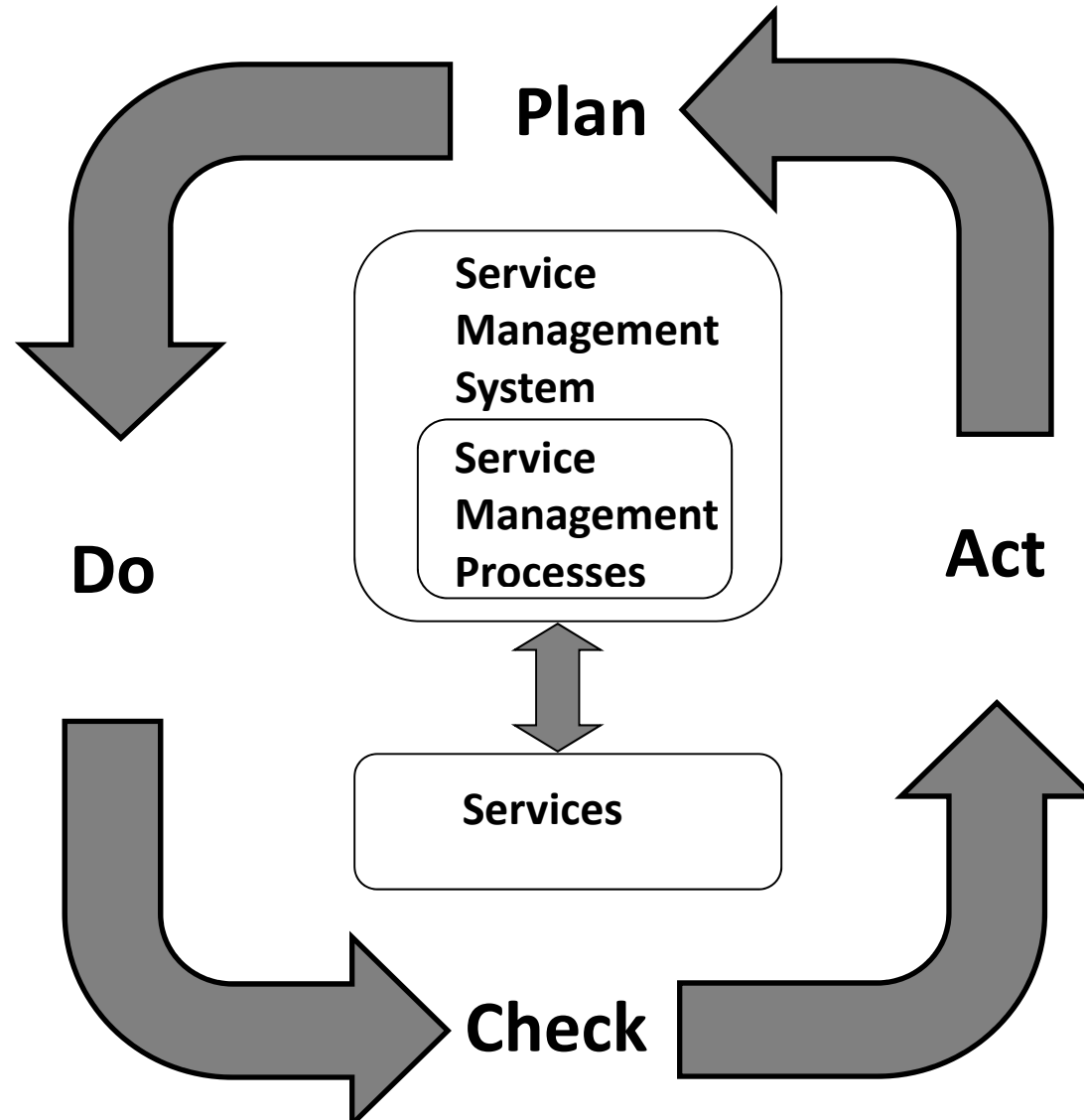
# Structure of new standard 3

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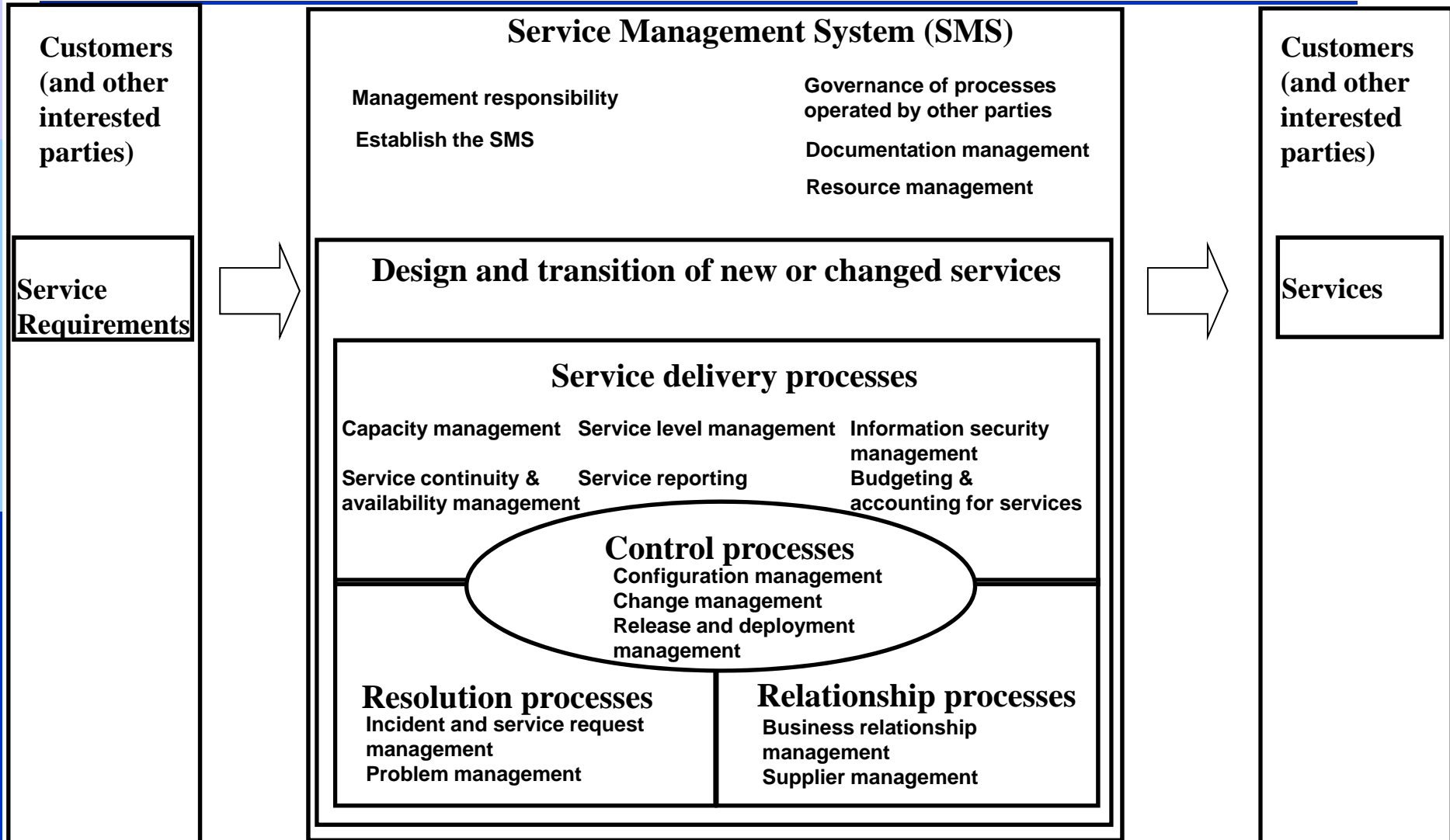
<b>2011 Edition</b>	<b>2005 Edition</b>
7.1 Business relationship management	7.1 General 7.2 Business relationship management
7.2 Supplier management	7.3 Supplier management
8.1 Incident and service request management	8.1 Background 8.2 Incident management
8.2 Problem management	8.3 Problem management
9.1 Configuration management	9.1 Configuration management
9.2 Change management	9.2 Change management
9.3 Release and deployment management	10.1 Release management

# Figure 1 – new

## PDCA methodology applied to service management



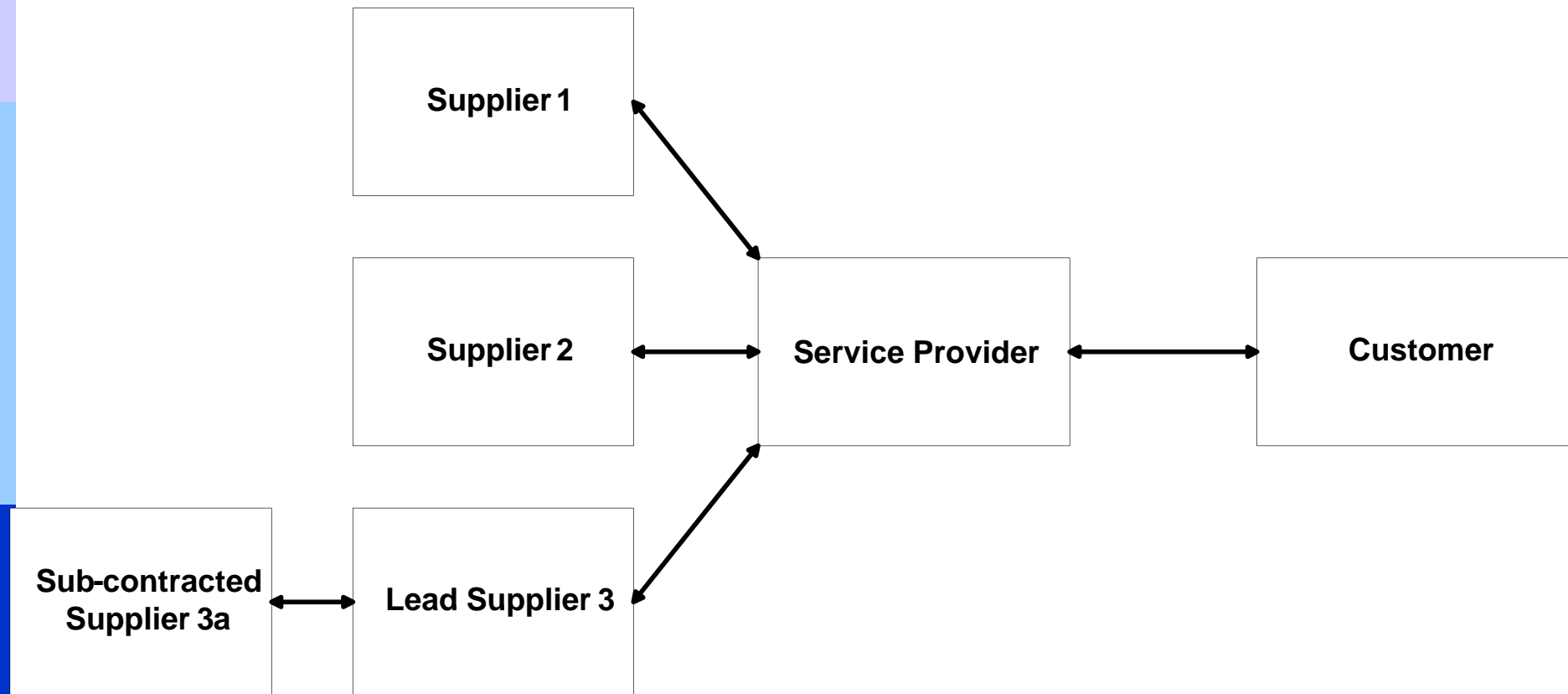
# Figure 2 – Service Management System



# Figure 3 – minor revision

## Example of supply chain relationships

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## 1.2 Application

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- ❑ All requirements of this part of ISO/IEC 20000 are generic and are intended to be applicable to all organizations, regardless of type, size and services provided.
- ❑ Excluding any of the requirements specified in Clauses 4 to 9 is not acceptable when an organization claims conformity to this part of ISO/IEC 20000.
- ❑ In order to claim conformity to this part of ISO/IEC 20000, all of the requirements in Clauses 4 to 9 need to be demonstrated.
- ❑ The service provider needs to demonstrate conformity to clause 4. Conformity to clauses 5 - 9 may be demonstrated by either the service provider or by the service provider demonstrating governance of processes operated by other parties.
- ❑ This part of ISO/IEC 20000 excludes the specification of any product or tool. However, organizations can use this part of ISO/IEC 20000 to help them develop products or tools that support operation of the SMS.

# Terms and definition changes

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## Added

- Continual improvement
- Corrective action
- Customer
- Effectiveness
- Information security
- Information security incident
- Interested party
- Internal group
- Known error
- Non conformity
- Organization
- Preventive action
- Process
- Risk

## Added

- Service
- Service component
- Service continuity
- Service management system
- Service provider
- Service request
- Service requirement
- Supplier
- Top management
- Transition

## Deleted

- Change record
- Service desk

Note that many definitions have also had significant wording changes

# Key definitions

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- **service**
  - means of delivering value to customers by facilitating results customers want to achieve without the ownership of specific costs and risks
- **service provider**
  - organization or part of an organization that manages and delivers the services to internal or external customers
- **service management system**
  - management system to direct and control the service management activities of the service provider
  - NOTE 1 A management system is a set of interrelated or interacting elements to establish policy and objectives and to achieve those objectives.
  - NOTE 2 The SMS includes all service management policies, objectives, plans, processes, documentation and resources required for the design, development, transition and delivery of services and to achieve the requirements in this part of ISO/IEC 20000.



# Major new requirements

## Governance of processes

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- Governance of processes operated by other parties
  - Where the service provider has requested other parties, either an internal group, a customer or a supplier, to operate some parts of the service management processes specified in Clauses 5 to 9, the service provider shall identify these processes and ensure governance of processes by:
    - a) demonstrating accountability for the processes and authority to require adherence to the processes;
    - b) controlling the definition of the processes and interfaces to other processes;
    - c) determining process performance and compliance;
    - d) controlling the planning and prioritizing of process improvements.
- Part 3 provides guidance on governance of processes

# Major new requirements

## Establish scope of SMS

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- Establish scope of SMS
  - The service provider shall establish and document in the service management plan the scope of the SMS.
  - The scope shall be defined in terms of the name of the organization unit providing the services and the services to be provided.
  - When defining the scope, the service provider shall also take into consideration other factors affecting the services to be provided including but not limited to:
    - a) geographical location(s) from which the service provider delivers the services;
    - b) customers and their location(s);
    - c) technology used to provide the services
- Part 3 provides guidance and examples on scope definition

# Major new requirements

## Design and transition of new or changed services

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Applies to:

- All new services
  - Changes with the potential to have a major impact on services or customers.
  - Removal or transfer of services to another party
  
  - Change policy
    - Which CIs are controlled by change mgt process
    - Criteria for identifying changes with the potential to have a major impact on services or customers
  - Evaluate ability of external provider to provide service components for new or changed services
- Establish service requirements
  - Plan the design and transition
  - Design and document a solution
  - Develop the new or changed service
  - Transition
    - Co-ordinate with configuration, change and release and deployment mgt
    - Test, verify against acceptance criteria
    - Approve, release and report on outcomes

# Other changes to requirements

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- Documentation requirements
  - Expanded to align to 9001
- Resource management
  - Expanded to align to 9001
- Check process from PDCA
  - Aligned to 9001 with internal audit and management review split out

# Other changes to requirements

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- Capacity management process
  - Expanded and clarified – it was a weak process
- Information security management process
  - Aligned more to 27001 but remains a subset
  - Split into policy, controls and security incidents and changes

# Other changes to requirements

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- Many other minor changes
  - Clarity
  - Consistency
  - Improved wording
  
- 2005 – 16 pages
- 2011 – 26 pages
  - Some is many more definitions, expanded introduction – 4 pages
  - Expanded text into lists and more sub-headings – 2 pages
  - And more requirements – 4 pages
  
- If you are running ITIL processes well, you are ready to prepare for certification with some additional effort

# How to prepare



# Scheme changes

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- Various schemes will need to change to reflect the updates to Part 1 and the other parts
  - Qualifications
    - ITSMF, ISEB, EXIN
    - Changeover rules, bridging courses?
  - Certification
    - ITSMF and others around the world
    - Changeover rules - usually 2 years allowed to be certified to new edition
- Assessments from various providers will need to change

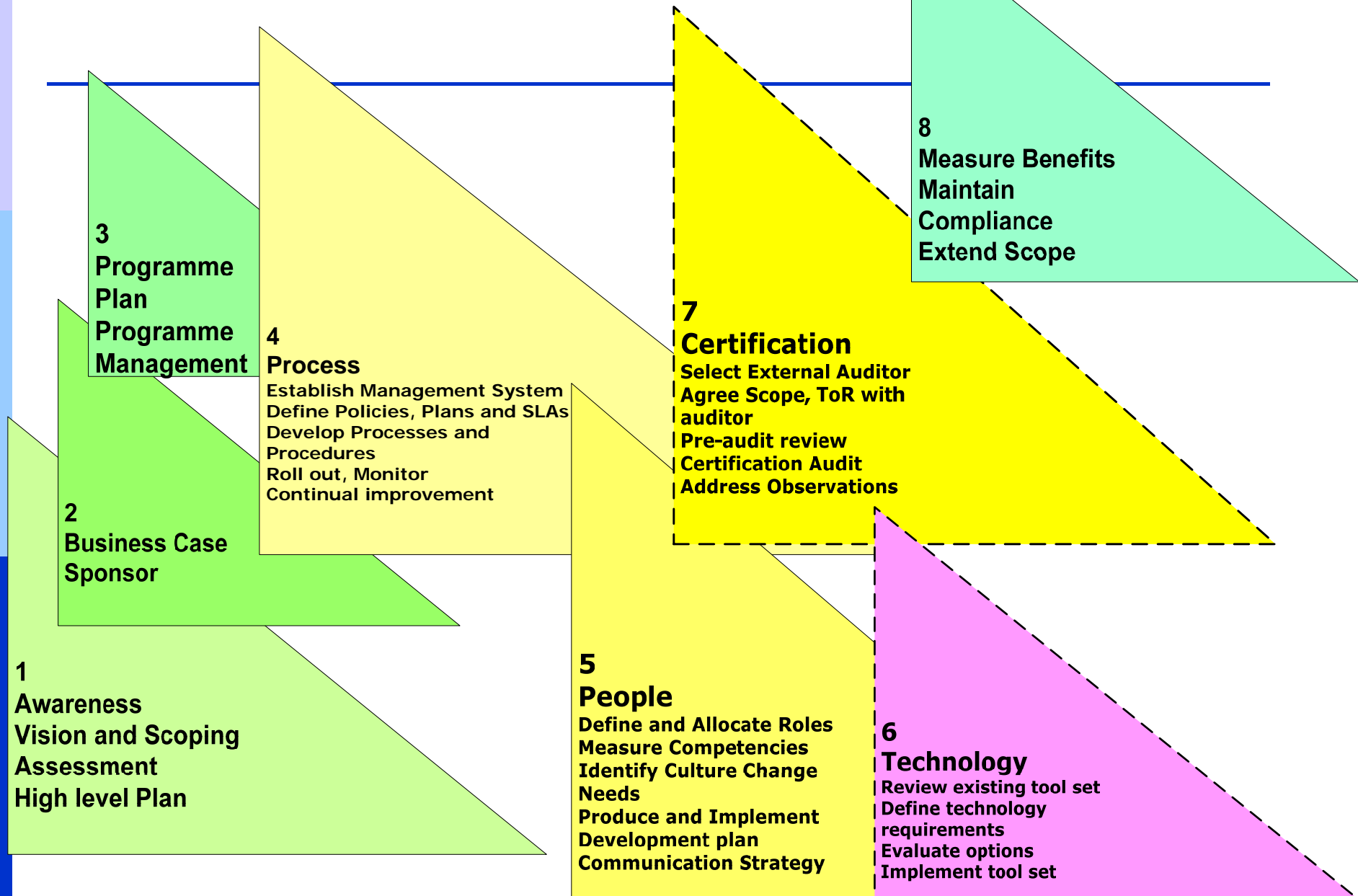


# Reference material

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- ISO standards
- BSI books
  - New book – differences between 2005 and 2011 editions
  - Updated books - Achieving ISO20000 series
- ITSMF pocket guides and other books – require updating
- isoiec20000certication web site

# Pathway to certification



# Moving from 2005 to 2011 certification

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- ❑ Awareness training
- ❑ Agree approach and timing with certification body
- ❑ Revisit certification scope statement – using scope requirements (4.5.2 and part 3)
- ❑ Check governance of processes for any processes that are outsourced to supplier, internal groups or customers (4.2 and part 3)
- ❑ Conduct an assessment against 2011 standard
- ❑ Produce a plan to ensure compliance
- ❑ Update and implement the SM plan and the SMS processes (clause 4)
- ❑ Update and implement the new or changed services process and the change policy (clause 5 and 9.2)
- ❑ Update and implement other plans and policies as required
- ❑ Update and implement other processes and procedures as required
- ❑ Pre-audit review
- ❑ Re-certification

# Questions



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