

Evidence Product Checklist

for Standard ISO/IEC 20000-1:2011

Information technology – Service management

Part 1: Service management *system requirements*

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Checklist



Service Management



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ISO/IEC Standard 20000-1:2011

Evidence Product Checklist

Overview of-Information technology - Service management - Part 1: Service management system requirements

ISO/IEC 20000-1:2011 is a service management system (SMS) standard. It specifies requirements for the service provider to plan, establish, implement, operate, monitor, review, maintain and improve an SMS. The requirements include the design, transition, delivery and improvement of services to fulfill agreed service requirements.

ISO/IEC 20000-1:2011 can be used by:

- an organization seeking services from service providers and requiring assurance that their service requirements will be fulfilled;
- an organization that requires a consistent approach by all its service providers, including those in a supply chain;
- a service provider that intends to demonstrate its capability for the design, transition, delivery and improvement of services that fulfill service requirements;
- a service provider to monitor, measure and review its service management processes and services;
- a service provider to improve the design, transition, delivery and improvement of services through the effective implementation and operation of the SMS;
- An assessor or auditor as the criteria for a conformity assessment of a service provider's SMS to the requirements in ISO/IEC 20000-1:2011.

ISO/IEC 20000-1:2011 promotes the adoption of an integrated process approach to effectively deliver managed services to meet business and customer requirements. For an organization to function effectively it has to identify and manage numerous linked activities. Co-ordinated integration and implementation of the service management processes provides the ongoing control, greater efficiency and opportunities for continual improvement.

Organizations require increasingly advanced facilities (at minimum cost) to meet their business needs. With the increasing dependencies in support services and the diverse range of technologies available, service providers can struggle to maintain high levels of customer service. Working reactively, they spend too little time planning, training, reviewing, investigating, and working with customers. The result is a failure to adopt structured, proactive working practices. Those same

service providers are being asked for improved quality, lower costs, greater flexibility, and faster response to customers.

In contrast, effective service management delivers high levels of customer service and customer satisfaction. It also recognizes that services and service management are essential to helping organizations generate revenue and be cost-effective. The ISO/IEC 20000 series enables service providers to understand how to enhance the quality of service delivered to their customers, both internal and external.

The ISO/IEC 20000 series draws a distinction between the best practices of processes, which are independent of organizational form or size and organizational names and structures. The ISO/IEC 20000 series applies to both large and small service providers, and the requirements for best practice service management processes are independent of the service provider's organizational form. These service management processes deliver the best possible service to meet a customer's business needs within agreed resource levels, i.e. service that is professional, cost-effective and with risks which are understood and managed.

Difference between the 2011 version and the 2005 version

The 2011 standard contains:

- A method of defining the scope of the service management system
- Change of terminology to reflect global usage of the standard
- Clarification of the processes operated by others in the system
- Closer alignment to ISO 9001 and ISO/IEC 27001
- Defining that the PDCA methodology applies to the service management system
- Put all management system requirements in one clause
- Requirements for the design and migration of new and changed services
- Update of the definition section of the standard
- Use of a new term “service management system”

Overview of the Checklist

The process of defining what is necessary for compliance with a service management process standard such as “ISO/IEC Standard 20000-1:2011” is often confusing and laborious because the directions contained in the standards are unclear or ambiguous. To aid in determining what is actually “required” by the document in the way of physical evidence of compliance, the experts at SEPT have produced this checklist. This checklist is constructed around a classification scheme of physical evidence comprised of policies, procedures, plans, records, documents, audits, and reviews. There must be an accompanying record of some type when an audit or review has been accomplished. This record would define the findings of the review or audit and any corrective action to be taken. For the sake of brevity this checklist does not call out a separate record for each

review or audit. All procedures should be reviewed but the checklist does not call out a review for each procedure, unless the standard calls out the procedure review. In this checklist, “manuals, reports, scripts and specifications” are included in the document category. When the subject standard references another standard for physical evidence, the checklist does not call out the full requirements of the referenced standard, only the expected physical evidence that should be available.

The author has carefully reviewed the document “ISO/IEC Standard 20000-1:2011 and defined the physical evidence required based upon this classification scheme. SEPT has conducted a second review of the complete list to ensure that the documents’ producers did not leave out a physical piece of evidence that a “reasonable person” would expect to find. It could certainly be argued that if the document did not call it out then it is not required; however if the standard was used by an organization to improve its process, then it would make sense to recognize missing documents. Therefore, there are documents specified in this checklist that are implied by the standard or in common use in software engineering, though not specifically called out in the document, and they are designated by an asterisk (*) throughout this checklist. If a document is called out more than one time, only the first reference is stipulated. There are occasional situations in which a procedure or document is not necessarily separate and could be contained within another document. For example, the “Service Management Audit Plan could be a separate plan or part of the Service Management Plan. It would all depend of the size of the company and project. The author has called out these individual items separately to ensure that the organization does not overlook any facet of physical evidence. If the organization does not require a separate document, and an item can be a subset of another document or record, then this fact should be denoted in the detail section of the checklist for that item. This should be done in the form of a statement reflecting that the information for this document may be found in section XX of Document XYZ. If the organizational requirements do not call for this physical evidence for a particular project, this should also be denoted with a statement reflecting that this physical evidence is not required and why. The reasons for the evidence not being required should be clearly presented in this statement. Further details on this step are provided in the Detail Steps section of the introduction. The size of these documents could vary from paragraphs to volumes depending upon the size and complexity of the project or business requirements.

Checklist Preparation Steps

This checklist was prepared by analyzing each clause of this document for the key words that signify a:

- Policy
- Procedure
- Plan
- Record
- Document (including Manuals, and Specifications)
- Audit
- Review

This checklist specifies evidence that is unique. After reviewing the completed document, the second review was conducted from a common sense “reasonable man” approach: If a document or other piece of evidence appeared to be required, but was not called out in the document, then it is added with an asterisk (*Suggested Item) after its notation in the checklist. This notation is listed in the footnotes for each section. The information was then transferred into checklist tables, based on the type of product or evidence.

Using the Checklist

When a company is planning to use "ISO/IEC 20000-1:2011". If the company's present process does not address an ISO/IEC 20000-1:2011 standard product, then this question should be asked: Is the evidence product required for the type of business of the company? If in the view of the company the evidence is not required, the rationale should be documented and inserted in the checklist and quality manual. This rationale should pass “*the reasonable person rule.*” If the evidence is required, plans should be prepared to address the missing item(s).

Detail Steps

An organization should compare the proposed output of their organization against the checklist. In doing this, they will find one of five conditions that exist for each item listed in the checklist. The following five conditions and the actions required by these conditions are listed in the table below.

Condition	Action Required
1. The title of the documented evidence specified by the checklist (document, plan, etc.) <i>agrees</i> with the title of the evidence being planned by the organization.	Record in the checklist that the organization is compliant.
2. The title of the documented evidence specified by the checklist (document, etc.) <i>disagrees</i> with the title of the evidence planned by the organization but the content is the same.	Record in the checklist the evidence title the organization uses and record that the organization is compliant, and the evidence is the same although the title is different.
3. The title of the documented evidence specified by the checklist (document, etc.) is <i>combined</i> with another piece of evidence.	Record in the checklist the title of the evidence (document, etc.) in which this information is contained.
4. The title of the documented evidence specified by the checklist (document, etc.) <i>is not planned</i> by the organization because it is not required.	Record in the checklist that the evidence is not required and the rationale for this decision.
5. The title of the documented evidence called out by the checklist (document, etc.) <i>is not planned</i> by the organization and <i>should be</i> planned by it.	Record in the checklist when this evidence will be planned and reference a plan for accomplishing the task.

Components of the Checklist

This checklist is composed of 8 sections:

- Section 1. Introduction
- Section 2. Checklist of all required and suggested “ISO/IEC 20000-1:2011” evidence products.
- Sections 3-8. Individual checklists for each evidence type.
- Section 9. “About the Author”

Product Support

All reasonable questions concerning this checklist or its use will be addressed free of charge for 60 days from time of purchase, up to a maximum of 4 hours consultation time.

Warranties and Liability

Software Engineering Process Technology (SEPT) makes no warranties implied or stated with respect to this checklist, and it is provided on an “*as is*” basis. SEPT will have no liability for any indirect, incidental, special or consequential damages or any loss of revenue or profits arising under, or with respect to the use of this document.

Section 2
ISO/IEC 20000-1:2011 Evidence Products Checklist by Clause

ISO/IEC 20000-1:2011 Clause Number and Name	Policies and Procedures	Plans	Records	Documents	Audits and Reviews
4 Service management system general requirements					
4.1 Management responsibility					

Sample

Section 2
ISO/IEC 20000-1:2011 Evidence Products Checklist by Clause

ISO/IEC 20000-1:2011 Clause Number and Name	Policies and Procedures	Plans	Records	Documents	Audits and Reviews
4.1.1	Management commitment	<ul style="list-style-type: none"> • Service Management Communication Plan Procedure* • Service Management Plan Procedure* • Service Management Resource Plan Procedure* • Service Management Scope and Objectives Document Procedure* • Service Management Statutory, Regulatory and Contractual Requirement Policy 	<ul style="list-style-type: none"> • Service Management Communication Plan* • Service Management Plan • Service Management Resource Plan 	<ul style="list-style-type: none"> • Service Management Scope and Objectives Document* • Service Management System Risk Document 	<ul style="list-style-type: none"> • Service Management Communication Plan Review* • Service Management Plan Review* • Service Management Resource Plan Review* • Service Management Resource Plan Review* • Service Management Scope and Objectives Document Review* • Service Management System Reviews • Service Management System Risk Document Review*

Section 2
ISO/IEC 20000-1:2011 Evidence Products Checklist by Clause

ISO/IEC 20000-1:2011 Clause Number and Name	Policies and Procedures	Plans	Records	Documents	Audits and Reviews
4.1.1 Management commitment (Cont.)	<ul style="list-style-type: none"> • Service Management System Policy • Service Management System Risk Document Procedure* 				
4.1.2 Service management policy	<ul style="list-style-type: none"> • Service Management System Improvement Policy 				<ul style="list-style-type: none"> • Service Management System Improvement Policy Review
4.1.3 Authority, responsibility and communication	<ul style="list-style-type: none"> • Communication of Service Management System Procedure • Service Management System Authorities and Responsibilities Document Procedure* 			<ul style="list-style-type: none"> • Service Management System Authorities and Responsibilities Document 	<ul style="list-style-type: none"> • Service Management System Authorities and Responsibilities Document Review*

Section 2
ISO/IEC 20000-1:2011 Evidence Products Checklist by Clause

ISO/IEC 20000-1:2011 Clause Number and Name	Policies and Procedures	Plans	Records	Documents	Audits and Reviews	
4.1.4	Management representative	<ul style="list-style-type: none"> • Asset Management Procedure • Management Representative Appointment Document Procedure* • Management Representative Report Document Procedure* • Service Management Process Integration Procedure • Service Management Task Assignment Procedure* 		<ul style="list-style-type: none"> • Customer Satisfaction Review Records* • Performance and Improvement Service Management System Records • Service Fulfillment Review Records 	<ul style="list-style-type: none"> • Management Representative Appointment Document* • Management Representative Report Document* 	<ul style="list-style-type: none"> • Management Representative Appointment Document Review* • Management Representative Report Document Review*

Section 2
ISO/IEC 20000-1:2011 Evidence Products Checklist by Clause

ISO/IEC 20000-1:2011 Clause Number and Name	Policies and Procedures	Plans	Records	Documents	Audits and Reviews
4.2	Governance of processes operated by other parties	<ul style="list-style-type: none"> • Other Parties Process Improvement Procedure • Other Parties Service Management Process Document Procedure* • Service Level Management Procedure • Supplier Management Procedure 		<ul style="list-style-type: none"> • Other Parties Service Management Process Document 	<ul style="list-style-type: none"> • Other Parties Service Management Process Document Review*
4.3	Documentation management				

Section 2
ISO/IEC 20000-1:2011 Evidence Products Checklist by Clause

ISO/IEC 20000-1:2011 Clause Number and Name	Policies and Procedures	Plans	Records	Documents	Audits and Reviews
4.3.1	Establish and maintain documents		<ul style="list-style-type: none"> • Service Management System Records 	<ul style="list-style-type: none"> • Service Level Agreement Document • Service Management System Document • Service Management System External Documents • Services Catalogue Document 	<ul style="list-style-type: none"> • Service Level Agreement Document Review* • Service Management System Document Review* • Service Management System External Documents Review* • Services Catalogue Document Review*