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Information technology — Service management —

Part 3: Guidance on scope definition and applicability of ISO/IEC 20000-1

Technologies de l'information — Gestion des services —

Partie 3: Recommandations pour la détermination du périmetre et l'applicabilité de l'ISO/CEI 20000-1

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Foreword

ISO (the International Organization for Standardization) and IEC (the International Electrotechnical Commission) form the specialized system for worldwide standardization. National bodies that are members of ISO or IEC participate in the development of International Standards through technical committees established by the respective organization to deal with particular fields of technical activity. ISO and IEC technical committees collaborate in fields of mutual interest. Other international organizations, governmental and non-governmental, in liaison with ISO and IEC, also take part in the work. In the field of information technology, ISO and IEC have established a joint technical committee, ISO/IEC JTC 1.

International Standards are drafted in accordance with the rules given in the ISO/IEC Directives, Part 2.

The main task of the joint technical committee is to prepare International Standards. Draft International Standards adopted by the joint technical committee are circulated to national bodies for voting. Publication as an International Standard requires approval by at least 75 % of the national bodies casting a vote.

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO and IEC shall not be held responsible for identifying any or all such patent rights.

ISO/IEC 20000-3:2012 was prepared by Joint Technical Committee ISO/IEC JTC 1, *Information technology*, Subcommittee SC 7, *Software and systems engineering*.

This first edition of ISO/IEC 20000-3 cancels and replaces the first edition of ISO/IEC TR 20000-3:2009, which has been technically revised to align with ISO/IEC 20000-1:2011.

ISO/IEC 20000 consists of the following parts, under the general title *Information technology — Service management*:

— *Part 1: Service management system requirements*

— *Part 2: Guidance on the application of service management systems*

— *Part 3: Guidance on scope definition and applicability of ISO/IEC 20000-1*

— *Part 4: Process reference model* [Technical Report]

— *Part 5: Exemplar implementation plan for ISO/IEC 20000-1* [Technical Report][1]

— *Part 7: Guidance on the application of ISO/IEC 20000-1 to the cloud*[2]

— *Part 10:Concepts and terminology* [Technical Report][2]

— *Part 11: Guidance on the relationship between ISO/IEC 20000-1:2012 and related frameworks: ITIL*®[3] [Technical Report][2]

[1] Under review as a second edition Technical Report.

[2] Under development.

[3] ITIL® is a Registered Trade Mark of the Cabinet Office.

Introduction

ISO/IEC 20000-1 specifies requirements for a service management system (SMS). Operating the processes in a particular system or service environment will result in specific skill, tool and information requirements, even though the process attributes are unchanged. There are no requirements in ISO/IEC 20000-1 that relate to organizational structure, size and type of organization. The requirements in ISO/IEC 20000-1 do not change with organizational structure, technology or service.

Service management processes can cross many organizational, legal and national boundaries as well as different time zones. Service providers can rely on a complex supply chain for the delivery of services. Service providers can also provide a range of services to several different types of customers, both internal and external. A complex supply chain can make the agreement and application of scope a complex stage in the service provider's use of ISO/IEC 20000-1.

This part of ISO/IEC 20000 takes the form of examples, guidance and recommendations. It should not be quoted as if it were a specification of requirements. Particular care should be taken to ensure that declarations of conformity are not misleading.

Information technology — Service management —

Part 3:
Guidance on scope definition and applicability of ISO/IEC 20000-1

1 Scope

This part of ISO/IEC 20000 includes guidance on scope definition, applicability and demonstration of conformity to the requirements specified in ISO/IEC 20000-1.

The guidance in this part of ISO/IEC 20000 will assist the service provider to plan service improvements and/or prepare for a conformity assessment against ISO/IEC 20000-1.

This part of ISO/IEC 20000 will assist in establishing if ISO/IEC 20000-1 is applicable to a service provider's circumstances. It illustrates how the scope of an SMS can be defined, irrespective of whether the service provider has experience of defining the scope of other management systems.

Guidance on types of conformity assessment and assessment standards is included.

The scenarios and examples given use a series of commonly found and practical service provider circumstances.

This part of ISO/IEC 20000 will be useful for consultants and assessors. It supplements the guidance on the application of ISO/IEC 20000-1 given in ISO/IEC 20000-2.

2 Normative references

The following documents, in whole or in part, are normatively referenced in this document and are indispensable for its application. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO/IEC 20000-1:2011, *Information technology — Service management — Part 1: Service management system requirements*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO/IEC 20000-1 apply.

4 Fulfilling the requirements specified in ISO/IEC 20000-1

The service provider should take into account that demonstrating conformity is only possible by fulfilling all requirements in ISO/IEC 20000-1. To do this the service provider should demonstrate that:

a) all processes in ISO/IEC 20000-1 are documented;

b) all processes produce the desired outcomes;

c) the outcomes of service management are appropriate to support business needs and customer requirements;

d) the SMS is managed to fulfil service requirements;

e) the "Plan-Do-Check-Act" (PDCA) methodology is used for the continual improvement of the SMS and services;

f) the service provider has governance of processes operated by other parties.

5 Applicability of ISO/IEC 20000-1

5.1 Who can use ISO/IEC 20000-1?

ISO/IEC 20000-1:2011, Clause 1.2 describes the application of the standard.

A broad range of service providers can use an SMS based on ISO/IEC 20000-1. ISO/IEC 20000-1 can apply to internal and external, large and small, commercial and non-commercial service providers. The applicability of ISO/IEC 20000-1 is independent of how the service is funded.

None of the requirements in ISO/IEC 20000-1:2011, Clauses 4 to 9 can be excluded from an assessment when a service provider claims conformity to ISO/IEC 20000-1:2011.

The service provider should have overall control of the SMS by fulfilling all the requirements of ISO/IEC 20000-1, Clause 4. The service provider can use other parties to support part of its fulfilment of Clause 4 requirements. For example, using a consultancy organization to support the development of the service management plan or to conduct internal audits.

The service provider can fulfil all requirements in ISO/IEC 20000-1:2011, Clauses 5 to 9 directly or by involving other parties. Other parties can be:

a) suppliers;

b) internal groups;

c) customers (when acting as suppliers).

In ISO/IEC 20000-1:2011, Definition 3.35, a supplier is an organization or part of an organization that is external to the service provider's organization. A supplier can enter into a contract with the service provider to contribute to the design, transition, implementation, delivery, maintenance, improvement and management of services or processes. In ISO/IEC 20000, suppliers include lead suppliers but not sub-contracted suppliers. Lead suppliers should manage sub-contracted suppliers on behalf of the service provider, under a formal arrangement.

An internal group is part of the same organization as the service provider, but not under the direct control of the service provider. An internal group should have a documented agreement with the service provider, specifying the internal group's contribution to the services delivered by the service provider.

A customer, when acting as a supplier, is part of an organization that receives a service but also contributes to the operation of the service provider's SMS. For example, a customer can manage a service desk and

operate part of the incident and service request management process. The contribution made by the customer should be under the terms of a documented agreement between the service provider and customer (when acting as a supplier).

Whenever other parties are involved, the service provider should have governance of all processes within the scope of the SMS. This is described in Clause 5.2 of this part of ISO/IEC 20000, for processes operated by other parties. If other parties operate only a minority of the processes, the service provider can normally fulfil the requirements in ISO/IEC 20000-1. If the service provider relies on other parties for operation of the majority of the processes, the service provider can have difficulty in fulfilling all the requirements in ISO/IEC 20000-1.

A service provider that does not fulfil all requirements of ISO/IEC 20000-1:2011, based on service delivery to external customers, can aim to fulfil those requirements based on service delivery to its own organization.

It can be that ISO/IEC 20000-1 is not appropriate for a service provider and that another standard is more suitable. For example, ISO 9001, or a standard covering only some aspects of service management.

5.2 Governance of processes operated by other parties

5.2.1 Processes operated by other parties

The service provider should identify processes or parts of processes operated by other parties. The service provider should then ensure that contracts or documented agreements include its governance of the processes in the scope of the SMS that are operated by other parties. For example, the service provider is able to verify that the other party is adhering to agreed processes.

5.2.2 Accountability and adherence

The service provider should demonstrate that it is both accountable and responsible for fulfilling the requirements of ISO/IEC 20000-1:2011, Clause 4.2, for all processes. This should include the processes operated by other parties. The service provider should have the authority to enforce adherence to the agreed processes operated by other parties.

The service provider should also be able to demonstrate that top management are committed to the SMS.

EXAMPLE 1 If another party is responsible for resolution of an incident that impacts the customer's service, the service provider is still accountable to the customer for resolution of the incident.

EXAMPLE 2 Requiring the other party to use a process established by the service provider and requiring regular audit by the service provider, of the use of the process.

5.2.3 Process definitions and interfaces

The service provider should control the definition of the processes operated by other parties and interfaces to other processes in the SMS. Evidence of this includes the following:

EXAMPLE 1 The service provider can demonstrate that it can request other parties to use specific processes. For example, the same change management process is operated by the service provider and its suppliers, under the terms of the contract between the service provider and each supplier.

EXAMPLE 2 The service provider controls the processes operated by internal groups under the terms of a documented agreement.

EXAMPLE 3 The service provider can demonstrate that it worked with other parties to document and approve the service reporting processes that other parties operate.

EXAMPLE 4 Documenting, agreeing and operating the interfaces and dependencies of the change management process, operated by the supplier, with the configuration management process, operated by the service provider.

5.2.4 Process performance

Under the requirements in ISO/IEC 20000-1:2011, Clause 4.2, the service provider should control the criteria for process performance. The service provider should also enforce adherence to its process requirements by other parties.

EXAMPLE 1 Setting criteria for process performance, such as availability targets or service request turnaround time.

EXAMPLE 2 Accessing a set of incident records and incident and service request management process performance measurements for another party, to ensure the other party is adhering to the agreed process.

5.2.5 Process improvements

The service provider should control the planning of process improvements and the priority given to the improvements being made. Opportunities for improvement can be identified by the service provider or by other parties.

EXAMPLE 1 Assessing proposed improvements to incident management operated by an internal group and controlling how the improvements will be made. This includes the coordination of the incident management improvements to be made by the internal group with other changes to the service provider's SMS.

EXAMPLE 2 The service provider assesses a set of improvements in the capacity management process operated by another party. The service provider also controls the priority to be given to the allocation of resources needed to meet expected levels of performance. The service provider is also able to demonstrate that the changes are approved and implemented to support the fulfilment of service requirements.

5.2.6 Management of other parties

Where a supplier is operating a process or part of a process, the service provider should manage the supplier through the supplier management process.

Where internal groups or customers (when acting as suppliers) operate processes or parts of processes, the service provider should manage them through the service level management process.

5.3 The extent of technology used to deliver services

The service provider should be aware that for ISO/IEC 20000-1:

a) applicability is unaffected by the technology used for the delivery of services or the automation of processes in the SMS;

b) technology used cannot change the requirements in ISO/IEC 20000-1;

c) technology used can have an impact on the tool and data requirements as well as the personnel skills needed to support the process activities.

6 General principles for the scope of an SMS

6.1 Introduction

ISO/IEC 20000-1:2011, Clause 4.5.1 provides requirements for defining the scope of the SMS.

The service provider should define the scope of the SMS before establishing the SMS.

Top management of the service provider should ensure that the service management plan is created and includes the scope of the SMS. The SMS and scope definition should be maintained. Top management should be responsible for reviewing the scope of the SMS to enable continuing effectiveness and validity.

6.2 The scope of the SMS

6.2.1 Defining the scope

The scope definition should:

a) be as simple as possible;

b) be understandable without detailed knowledge of the service provider's organization;

c) include enough information for use in conformity assessment;

d) be worded so that any exclusions are clear;

e) be stand-alone and not refer out to other sources.

See Annex B of this part of ISO/IEC 20000 for examples of scope definitions.

6.2.2 Scope definition and assessment

The service provider can discuss the scope of the SMS with its assessor. Reassurance that the proposed scope is valid, before establishing the SMS, can avoid setting false expectations. An assessor can discuss the scope of the assessment / audit as part of the audit planning, but should not provide consultancy on the SMS.

The service provider should be able to demonstrate that the scope is valid at the beginning of an assessment because it is used in the assessor's planning.

The service provider should be aware that only the evidence based on the scope of the SMS is considered during an assessment. Activities or services outside the scope of the SMS need not fulfil the requirements specified in ISO/IEC 20000-1. Exclusions do not have to be referred to in the scope definition but can help to make the scope definition unambiguous.

6.2.3 Limits to the scope

Where the service provider includes an entire organization or business area in the SMS, defining the scope of an SMS can be relatively simple. This is because the scope can be defined as all the services delivered by the service provider.

If the service provider includes only some of its activities in the SMS it can be harder to define the scope in simple terms or to avoid ambiguity. A demonstration of conformity can be the fulfilment of all requirements in ISO/IEC 20000-1 for a scope based on a simple service delivered to one customer. This can be a small proportion of the service provider's total activities or services.

A service provider can have many customers and deliver many services. Consequently, the scope of the SMS can include services for several customers. When this is the case, the processes should be consistent but the procedures used to deliver services for each customer can vary in detail. If a customer is identified in the scope definition, the organization should fulfil all requirements of ISO/IEC 20000-1 for that customer.

6.3 Agreements between customers and the service provider

The service provider cannot use the terms of a contract or documented agreement with a customer to reduce its obligations to fulfil all the requirements of ISO/IEC 20000-1. This is the case even if the terms of a contract or documented agreement limits the services and processes. Also, the terms of a contract or documented agreement cannot reduce an assessor's obligations to obtain evidence of conformity to the requirements of ISO/IEC 20000-1.

6.4 Scope definition parameters

6.4.1 Parameters required by ISO/IEC 20000-1

The service provider should use parameters to define the scope of the SMS to ensure that there is no ambiguity about what is included and excluded.

The parameters should include at least:

a) organizational units providing services, e.g. a single department, group of departments or all departments;

b) services delivered, e.g. a single service, group of services or all services, financial services, retail services, email services.

EXAMPLE The scope definition can be:
The SMS of <name of service provider organizational unit> that delivers <service(s)>.

In an actual scope definition the <name of the service provider organizational unit> should not be simply "The service provider". This is because many organizations include a service provider and some organizations include more than one.

6.4.2 Other parameters

The service provider should consider other parameters where additional information can avoid ambiguity in the scope definition. Use of other parameters is shown in the examples and in Annex B of this part of ISO/IEC 20000.

EXAMPLE The scope definition can be:
The SMS of <name of service provider organizational unit> that delivers <technology><services> from <service provider location> to <customer> at <customer location>.

The parameters can be used in whatever order the service provider considers suitable. Other parameters can be used.

The scope definition for an SMS can encompass several customers, without explicitly listing individual customers. For example, by referring to all services from the data centre at a named location or referring to all data storage services.

The service provider should not include the names of other parties or external organizations, even if they contribute to the SMS and services.

6.4.3 Sampling for assessment

If the scope includes many customers, services or locations the assessor can assess a sample, using his/her professional judgement for selection of the sample. The scope definition should include all customers, services and locations within the scope of the SMS, not just those sampled.

6.5 Validity of scope definition

The service provider should ensure that the scope of the SMS remains valid after it has been documented. The service provider should do this by conducting reviews at planned intervals to identify discrepancies. If the actual scope does not match the defined scope, then the scope definition should be amended. If the difference is considered significant, a re-assessment can be required.

The service provider should be aware that a substantial change to the services can require a substantial change to the SMS. The service provider should ensure that an internal audit assesses whether this change means the SMS no longer fulfils the requirements of ISO/IEC 20000-1. If an SMS is certified to