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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.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular the different approval criteria needed for the different types of document should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

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. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see www.iso.org/patents).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation on the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT) see the following URL: www.iso.org/iso/foreword.html.

This document was prepared by ISO/IEC JTC 1, *Information technology*, SC 40, *IT Service Management and IT Governanc*e.

This third edition cancels and replaces the second edition (ISO/IEC 20000-1:2011) which has been technically revised.

The main changes compared to the previous edition are as follows.

a) Restructured into the high level structure used for all management system standards (from Annex SL of the Consolidated ISO Supplement to the ISO/IEC Directives Part 1). This has introduced new common requirements for context of the organization, planning to achieve objectives and actions to address risks and opportunities. There are some common requirements that have updated previous requirements, for example, documented information, resources, competence and awareness.

b) Taken into account the growing trends in service management including topics such as the commoditisation of services, the management of multiple suppliers by an internal or external service integrator and the need to determine value of services for customers.

c) Removed some of the detail to concentrate on what to do and allow organizations the freedom of how to meet the requirements.

d) Included new features such as the addition of requirements about knowledge and planning the services.

e) Separated out clauses that were previously combined for incident management, service request management, service continuity management, service availability management, service level management, service catalogue management, capacity management, demand management.

f) Renamed “Governance of processes operated by other parties” to “Control of parties involved in the service lifecycle” and updated the requirements to include services and service components as well as processes. Clarified that the organization cannot demonstrate conformity to the requirements

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specified in this document if other parties are used to provide or operate all services, service components or processes within the scope of the service management system (SMS).

g) Separated Clause 3 (Terms and definitions) into sub-clauses for management system terms and service management terms. There are many changes to definitions. The key changes include:

   1) some new terms have been added for Annex SL, e.g. “objective”, “policy”, and some have been added specifically for service management, e.g. “asset”, “user”;

   2) the term “service provider” has been replaced by “organization” to fit with the Annex SL common text;

   3) the term “internal group” has been replaced by “internal supplier” and the term “supplier” has been replaced by “external supplier”;

   4) the definition of “information security” has been aligned with ISO/IEC 27000. Subsequently the term “availability” has been replaced by “service availability” to differentiate from the term “availability” which is now used in the revised definition of “information security”.

h) Minimised the required documented information leaving only key documents such as the service management plan. Other documented information changes include:

   1) removed requirement for documented capacity plan and replaced with requirement to plan capacity;

   2) removed requirement for documented availability plan and replaced with requirement to document service availability requirements and targets;

   3) removed requirement for a configuration management database and replaced with requirements for configuration information;

   4) removed requirement for a release policy and replaced with a requirement to define release types and frequency;

   5) removed requirement for a continual improvement policy and replaced with a requirement to determine evaluation criteria for opportunities for improvement.

i) Updated and renumbered Figures 2 and 3 to Figures 1 and 2. Removed Figure 1 and references to Plan-Do-Check-Act as this is not specifically used in Annex SL because many improvement methods can be used with management system standards.

j) Moved detailed reporting requirements from the service reporting clause into the clauses where the reports are likely to be produced.

A list of all parts in the ISO/IEC 20000 series can be found on the ISO website.

Any feedback or questions on this document should be directed to the user’s national standards body. A complete listing of these bodies can be found at www.iso.org/members.html.

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Introduction

This document has been prepared to specify requirements for establishing, implementing, maintaining and continually improving a service management system (SMS). An SMS supports the management of the service lifecycle, including the planning, design, transition, delivery and improvement of services, which meet agreed requirements and deliver value for customers, users and the organization delivering the services.

The adoption of an SMS is a strategic decision for an organization and is influenced by the organization's objectives, the governing body, other parties involved in the service lifecycle and the need for effective and resilient services.

Implementation and operation of an SMS provides ongoing visibility, control of services and continual improvement, leading to greater effectiveness and efficiency. Improvement for service management applies to the SMS and the services.

This document is intentionally independent of specific guidance. The organization can use a combination of generally accepted frameworks and its own experience. The requirements specified in this document align with commonly used improvement methodologies. Appropriate tools for service management can be used to support the SMS.

ISO/IEC 20000-2 provides guidance on the application of service management systems including examples of how to meet the requirements specified in this document. ISO/IEC 20000-10 provides information on all of the parts of the ISO/IEC 20000 series, benefits, misperceptions and other related standards. ISO/IEC 20000-10 lists the terms and definitions included in this document in addition to terms not used in this document but used in other parts of the ISO/IEC 20000 series.

The clause structure (i.e. clause sequence), terms in 3.1 and many of the requirements are taken from Annex SL of the Consolidated ISO Supplement to the ISO/IEC Directives Part 1, known as the common high level structure (HLS) for management system standards. The adoption of the HLS enables an organization to align or integrate multiple management system standards. For example, an SMS can be integrated with a quality management system based on ISO 9001 or an information security management system based on ISO/IEC 27001.

Figure 1 illustrates an SMS showing the clause content of this document. It does not represent a structural hierarchy, sequence or authority levels. There is no requirement in this document for its structure to be applied to an organization's SMS. There is no requirement for the terms used by an organization to be replaced by the terms used in this document. Organizations can choose to use terms that suit their operations.

The structure of clauses is intended to provide a coherent presentation of requirements, rather than a model for documenting an organization's policies, objectives and processes. Each organization can choose how to combine the requirements into processes. The relationship between each organization and its customers, users and other interested parties influences how the processes are implemented. However, an SMS as designed by an organization, cannot exclude any of the requirements specified in this document.

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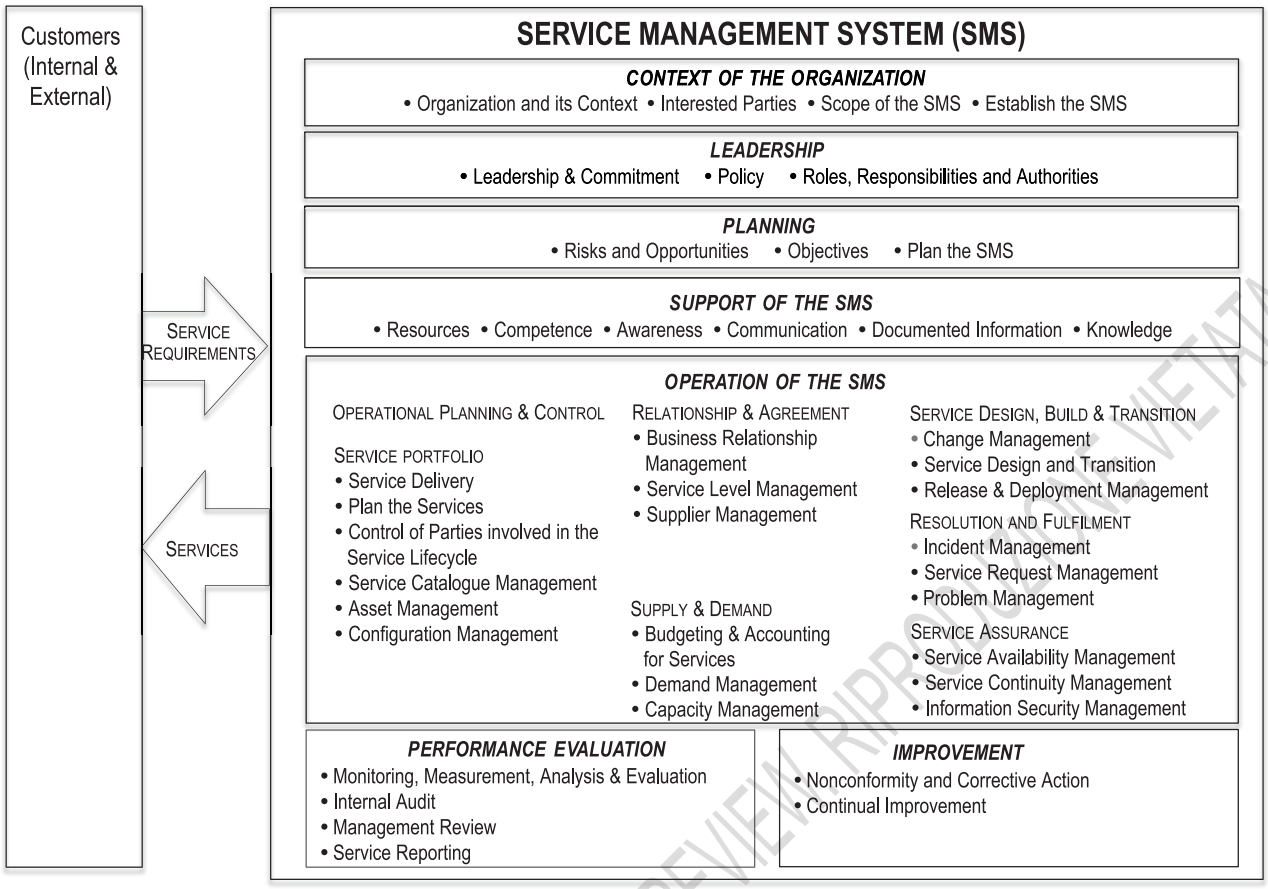


Figure 1 — Service management system

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Information technology — Service management —

Part 1:
Service management system requirements

1 Scope

1.1 General

This document specifies requirements for an organization to establish, implement, maintain and continually improve a service management system (SMS). The requirements specified in this document include the planning, design, transition, delivery and improvement of services to meet the service requirements and deliver value. This document can be used by:

a) a customer seeking services and requiring assurance regarding the quality of those services;

b) a customer requiring a consistent approach to the service lifecycle by all its service providers, including those in a supply chain;

c) an organization to demonstrate its capability for the planning, design, transition, delivery and improvement of services;

d) an organization to monitor, measure and review its SMS and the services;

e) an organization to improve the planning, design, transition, delivery and improvement of services through effective implementation and operation of an SMS;

f) an organization or other party performing conformity assessments against the requirements specified in this document;

g) a provider of training or advice in service management.

The term “service” as used in this document refers to the service or services in the scope of the SMS. The term “organization” as used in this document refers to the organization in the scope of the SMS that manages and delivers services to customers. The organization in the scope of the SMS can be part of a larger organization, for example, a department of a large corporation. An organization or part of an organization that manages and delivers a service or services to internal or external customers can also be known as a service provider. Any use of the terms “service” or “organization” with a different intent is distinguished clearly in this document.

1.2 Application

All requirements specified in this document are generic and are intended to be applicable to all organizations, regardless of the organization’s type or size, or the nature of the services delivered. Exclusion of any of the requirements in Clauses 4 to 10 is not acceptable when the organization claims conformity to this document, irrespective of the nature of the organization.

Conformity to the requirements specified in this document can be demonstrated by the organization itself showing evidence of meeting those requirements.

The organization itself demonstrates conformity to Clauses 4 and 5. However, the organization can be supported by other parties. For example, another party can conduct internal audits on behalf of the organization or support the preparation of the SMS.

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Alternatively, the organization can show evidence of retaining accountability for the requirements specified in this document and demonstrating control when other parties are involved in meeting the requirements in Clauses 6 to 10 (see 8.2.3). For example, the organization can demonstrate evidence of controls for another party who is providing infrastructure service components or operating the service desk including the incident management process.

The organization cannot demonstrate conformity to the requirements specified in this document if other parties are used to provide or operate all services, service components or processes within the scope of the SMS.

The scope of this document excludes the specification for products or tools. However, this document can be used to help the development or acquisition of products or tools that support the operation of an SMS.

2 Normative references

There are no normative references in this document.

3 Terms and definitions

For the purposes of this document, the following terms and definitions apply.

ISO and IEC maintain terminological databases for use in standardization at the following addresses:

— IEC Electropedia: available at http://www.electropedia.org/

— ISO Online browsing platform: available at https://www.iso.org/obp

3.1 Terms specific to management system standards

3.1.1
audit
systematic, independent and documented *process* (3.1.18) for obtaining audit evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled

Note 1 to entry: An audit can be an internal audit (first party) or an external audit (second party or third party), and it can be a combined audit (combining two or more disciplines).

Note 2 to entry: An internal audit is conducted by the *organization* (3.1.14) itself, or by an external party on its behalf.

Note 3 to entry: "Audit evidence" and "audit criteria" are defined in ISO 19011.

3.1.2
competence
ability to apply knowledge and skills to achieve intended results

3.1.3
conformity
fulfilment of a *requirement* (3.1.19)

Note 1 to entry: Conformity relates to requirements in this document as well as the organization's SMS requirements.

Note 2 to entry: The original Annex SL definition has been modified by adding Note 1 to entry.

3.1.4
continual improvement
recurring activity to enhance *performance* (3.1.16)

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