

Australian/New Zealand Standard™

Information technology — Service management

Part 3: Guidance on scope definition and applicability of AS/NZS ISO/IEC 20000.1



AS/NZS ISO/IEC 20000.3:2020

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Australian/New Zealand Standard™

Information technology — Service management

Part 3: Guidance on scope definition and applicability of AS/NZS ISO/ IEC 20000.1

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Preface

This Standard was prepared by the Joint Standards Australia/Standards New Zealand Committee IT-030, ICT Governance and Management, to supersede AS/NZS ISO/IEC 20000.3:2014, *Information technology — Service management — Part 3: Guidance on scope definition and applicability of ISO/IEC 20000-1*.

The objective of this Standard is to provide guidance on the scope definition and applicability to the requirements specified in AS/NZS ISO/IEC 20000.1.

This Standard can assist in establishing whether AS/NZS ISO/IEC 20000.1 is applicable to an organization's circumstances. It illustrates how the scope of an SMS can be defined, irrespective of whether the organization has experience of defining the scope of other management systems.

The guidance in this Standard can assist an organization in planning and preparing for a conformity assessment against AS/NZS ISO/IEC 20000.1.

Annex A contains examples of possible scope statements for an SMS. The examples given use a series of scenarios for organizations ranging from very simple to complex service supply chains.

This Standard can be used by personnel responsible for planning the implementation of an SMS, as well as assessors and consultants. It supplements the guidance on the application of an SMS given in AS/NZS ISO/IEC 20000.2.

Requirements for bodies providing audit and certification of an SMS can be found in AS/NZS ISO/IEC 20000.6 which recommends the use of this Standard.

This Standard is identical with, and has been reproduced from, ISO/IEC 20000-3:2019, *Information technology — Service management — Part 3: Guidance on scope definition and applicability of ISO/IEC 20000-1*.

As this document has been reproduced from an International Standard, a full point substitutes for a comma when referring to a decimal marker.

Australian or Australian/New Zealand Standards that are identical adoptions of international normative references may be used interchangeably. Refer to the online catalogue for information on specific Standards.

The terms “normative” and “informative” are used in Standards to define the application of the appendices or annexes to which they apply. A “normative” appendix or annex is an integral part of a Standard, whereas an “informative” appendix or annex is only for information and guidance.

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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.

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) or the IEC list of patent declarations received (see <http://patents.iec.ch>).

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

For an explanation of 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 www.iso.org/iso/foreword.html.

This document was prepared by Joint Technical Committee ISO/IEC JTC 1, *Information technology*, Subcommittee SC 40, *IT Service Management and IT Governance*.

This second edition cancels and replaces the first edition (ISO/IEC 20000-3:2012), which has been technically revised.

The main changes from the previous edition are as follows:

- a) this document has been aligned with the third edition of ISO/IEC 20000-1;
- b) example scenarios in [Annex A](#) have been updated to reflect contemporary service management environments, including complex service supply chains.

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.

Introduction

This document provides guidance on scope definition and applicability of ISO/IEC 20000-1. This document does not add any requirements to those stated in ISO/IEC 20000-1.

Organizations, of any size, type, or area of operations, can provide a range of services to different types of customers, internal and external, and rely on complex service supply chains.

NOTE The term “service supply chain”, as used in this document, refers to the way services are coordinated across internal and external suppliers. It is not intended to limit the applicability of this document to any specific sector or industry.

The operation of a service management system (SMS) may involve many parties across legal jurisdictions, national boundaries and time zones. The SMS should include the appropriate controls to facilitate the coordination of all parties participating in the service lifecycle.

This document takes the form of examples, guidance and recommendations. It should not be quoted as if it were a specification of requirements.

NOTES

Australian/New Zealand Standard

Information technology — Service management

Part 3: Guidance on scope definition and applicability of AS/NZS ISO/IEC 20000.1

1 Scope

This document includes guidance on the scope definition and applicability to the requirements specified in ISO/IEC 20000-1.

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

The guidance in this document can assist an organization in planning and preparing for a conformity assessment against ISO/IEC 20000-1.

[Annex A](#) contains examples of possible scope statements for an SMS. The examples given use a series of scenarios for organizations ranging from very simple to complex service supply chains.

This document can be used by personnel responsible for planning the implementation of an SMS, as well as assessors and consultants. It supplements the guidance on the application of an SMS given in ISO/IEC 20000-2.

Requirements for bodies providing audit and certification of an SMS can be found in ISO/IEC 20000-6 which recommends the use of this document.

2 Normative references

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO/IEC 20000-10, *Information technology — Service management — Part 10: Concepts and vocabulary*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO/IEC 20000-10 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 <http://www.iso.org/obp>

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

4.1 Structure of the SMS

[Figure 1](#) illustrates an SMS showing the clause content of ISO/IEC 20000-1. It does not represent a structural hierarchy, sequence, or authority levels. It shows that the requirements in ISO/IEC 20000-1:2018, Clause 8, Operation of the SMS, have been split into subclauses to reflect the service lifecycle. The subclauses are commonly referred to as the service management processes. The service management processes and the relationships between the processes can be implemented in different

ways by organizations. The relationships between each organization and its customers, users and other interested parties influence how the service management processes are implemented.

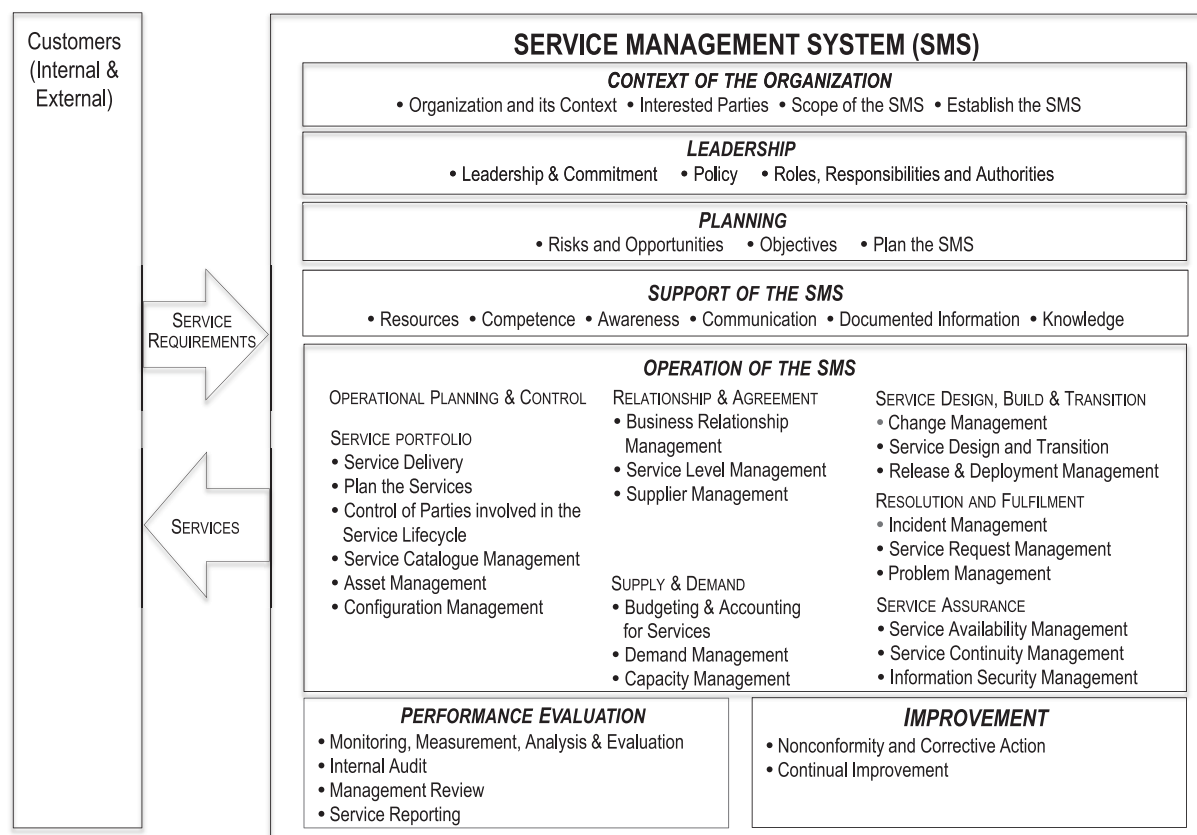


Figure 1 — Service management system

The structure of clauses in ISO/IEC 20000-1 is intended to provide a coherent presentation of requirements, rather than a model for documenting an organization's policies, objectives and processes. Process names can be different from those used in ISO/IEC 20000-1 provided all the requirements are fulfilled. Processes can be combined or split in different ways from the clause structure listed in ISO/IEC 20000-1.

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. For example, change management and release and deployment management can be combined as one process.

Mapping an organization's process names against the requirements in ISO/IEC 20000-1 can assist an auditor in understanding how those requirements are fulfilled. An SMS as designed by an organization claiming conformity with ISO/IEC 20000-1, cannot exclude any of the requirements specified in ISO/IEC 20000-1.

4.2 Demonstrating conformity

An organization can only claim conformity by fulfilling all requirements specified in ISO/IEC 20000-1. Conformity to the requirements specified in ISO/IEC 20000-1 can be demonstrated by an organization showing evidence of:

- fulfilling the requirements itself;
- controls for other parties that are involved in performing activities to support the SMS.

Some or all of the requirements of ISO/IEC 20000-1:2018, Clauses 6 to 10, can be fulfilled by other parties, provided the organization can demonstrate controls for those other parties. For example, other parties can be used to conduct internal audits.

ISO/IEC 20000-1:2018, Clauses 4 to 5 should be fulfilled by the organization itself. However, another party can act on behalf of the organization, e.g. in preparation of the service management plan.

As another example, an organization can demonstrate evidence of controls for the processes operated by other parties or services that are outsourced. It is important that the organization understand which activities are to be performed by other parties to support the SMS.

4.3 Authorities and responsibilities across the service supply chain

It is important that the organization has clearly defined authorities and responsibilities for all parties in the service supply chain.

The organization should retain operational control of, and accountability for the services in scope of the SMS as described in ISO/IEC 20000-1:2018, 5.1, but can use other parties to support these requirements.

The organization is required to demonstrate that top management fulfils the requirements specified in ISO/IEC 20000-1:2018, Clause 5. The organization should demonstrate that the services support the fulfilment of the service management objectives.

It is important that the organization ensures that there is clarity regarding authority and responsibility for services and service components, and processes or parts of processes, provided or operated by all parties. This includes defining in contracts or documented agreements, the responsibilities for fulfilling service requirements.

The organization should:

- a) identify and document all services, service components, processes or parts of processes in the scope of the SMS, including those that are provided by other parties;
- b) identify which parties operate what services, service components, processes or parts of processes;
- c) demonstrate controls for the other parties identified in a) and b) (see ISO/IEC 20000-1:2018, 8.2.3).

5 Applicability of ISO/IEC 20000-1

5.1 Principles of applicability

5.1.1 Applicability

All requirements in ISO/IEC 20000-1 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. ISO/IEC 20000-1 has its roots in IT and is intended for service management of services using technology and digital information. The examples given in this document illustrate a variety of uses of ISO/IEC 20000-1.

ISO/IEC 20000-1:2018, 1.2 describes the application of the standard.

5.1.2 Organization

The organization in scope of the SMS needs to be correctly identified.

An ISO/IEC 20000-1 certificate would normally be issued to a single legal entity, rather than a group of different unrelated legal entities. See also [6.2.4](#) of this document.

5.1.3 Commercial status

Services can be delivered on either a commercial or non-commercial basis. The financial basis of service delivery is irrelevant to the applicability of ISO/IEC 20000-1 or the scope of the SMS.

The organization does not need to own the assets used to deliver the services.

5.1.4 Scope

The scope definition should state what has been included within the scope. If required, to aid clarity, it can also be useful to state what is outside the scope.

The scope of the SMS should be visible to staff, customers and prospective customers on request. It therefore needs to be unambiguous giving a clear indication of the services and the organization in scope.

5.1.5 Requirements

The organization should fulfil all requirements specified in ISO/IEC 20000-1 for the scope of the SMS. Some or all of the requirements of ISO/IEC 20000-1:2018, Clauses 6 to 10, can be fulfilled by other parties provided the organization can demonstrate controls for those other parties. However, ISO/IEC 20000-1:2018, Clauses 4 and 5 should be fulfilled by the organization itself but can be supported by other parties.

5.1.6 Authorities and responsibilities

The organization should be aware of the importance of clarity about authorities and responsibilities of the organization itself and other parties involved in the service lifecycle. The organization should retain accountability for all requirements in ISO/IEC 20000-1 but can use other parties to support this. Where other parties are involved, control should be demonstrated of the performance and effectiveness of their involvement according to ISO/IEC 20000-1:2018, 8.2.3.

5.2 Parties involved in an SMS

5.2.1 Types of suppliers

Organizations can use any type of combination of suppliers to support an SMS based on ISO/IEC 20000-1.

The organization can fulfil all requirements specified in ISO/IEC 20000-1:2018, Clauses 6 to 10 directly or by involving other parties. Other parties who provide or operate services, service components or processes can be:

- a) internal suppliers;
- b) external suppliers;
- c) customers acting as suppliers.

An internal supplier may have the same governing body as the organization in the scope of the SMS but is external to the scope of the SMS, e.g. human resources or procurement. An internal supplier should have a documented agreement with the organization in the scope of the SMS, specifying the internal supplier's contribution to the SMS and services.

An external supplier is an organization or part of an organization that is external to the organization within the scope of the SMS. If the organization in the scope of the SMS is part of a larger organization, the external supplier is external to the larger organization. An external supplier can enter into a contract with the organization to contribute to the planning, design, transition, delivery and improvement of services. Because the organization can have contracts with lead suppliers but not sub-contracted suppliers, lead suppliers should manage sub-contracted suppliers that are relevant to the SMS.