BSI Standards Publication

Information technology — Service management

Part 2: Guidance on the application of service management systems

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National foreword

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Part 2: Guidance on the application of service management systems

Technologies de l'information — Gestion des services —

Partie 2: Directives relatives à l'application des systèmes de management des services

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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 third edition cancels and replaces the second edition (ISO/IEC 20000-2:2012), which has been technically revised.

The main changes from the previous edition are as follows:

a) updated to align with ISO/IEC 20000-1:2018;

b) improved consistency and clarity of guidance for each clause with these consistent elements: Required activities, Explanation (which includes purpose statement), and Other information (which includes guidance on documented information and roles and authorities);

c) added an Annex (Annex A) that compiles all of the mandatory documented information called for in ISO/IEC 20000-1.

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 provides guidance 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 fulfil 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. The guidance in this document aligns with ISO/IEC 20000-1:2018. This document (ISO/IEC 20000-2) is intentionally independent of guidance for the management of any specific type of service. The organization can use a combination of generally accepted frameworks and its own experience. Improvement for service management can use common improvement methodologies and apply them to the SMS and the services. Appropriate tools for service management can be used to support the SMS. 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.

The clause structure in this document (i.e. clause numbering and sequence) aligns with ISO/IEC 20000-1:2018 and the terms used in this document align with ISO/IEC 20000-1:2018 and ISO/IEC 20000-10:2018.

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Information technology — Service management —

Part 2: Guidance on the application of service management systems

1 Scope

1.1 General

This document provides guidance on the application of a service management system (SMS) based on ISO/IEC 20000-1. It provides examples and recommendations to enable organizations to interpret and apply ISO/IEC 20000-1, including references to other parts of ISO/IEC 20000 and other relevant standards.

Figure 1 illustrates an SMS with the clause content of ISO/IEC 20000-1. It does not represent a structural hierarchy, sequence, or authority levels.

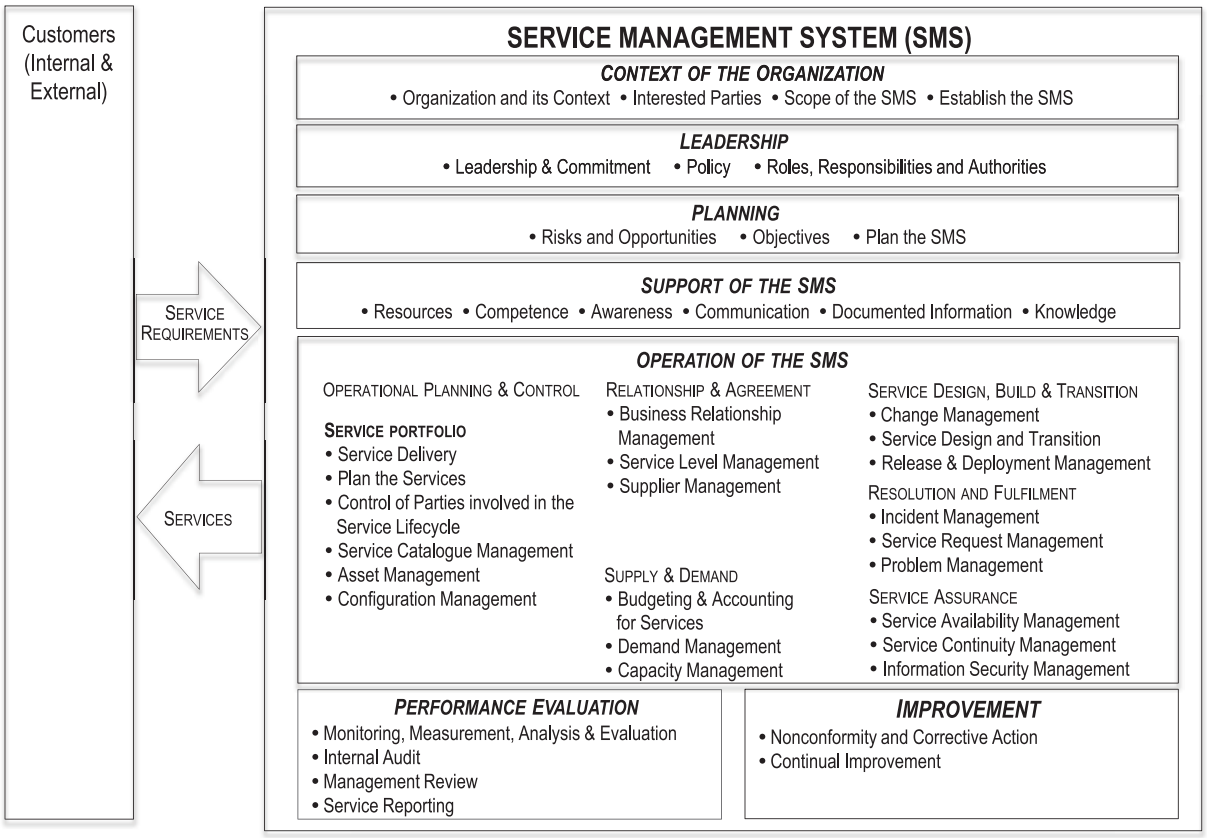

Figure 1 — Service management system

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.

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However, an SMS as designed by an organization cannot exclude any of the requirements specified in ISO/IEC 20000-1.

The term 'service' as used in this document refers to the 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. The organization in the scope of the SMS can be part of a larger organization, for example an IT department of a large corporation. The organization manages and delivers services to customers and can also be referred to as a service provider. Any use of the terms 'service' or 'organization' with a different intent is distinguished clearly in this document. The term 'delivered', as used in this document, can be interpreted as all of the service lifecycle activities that are performed in addition to daily operational activities. Service lifecycle activities include planning, design, transition, delivery, and improvement.

1.2 Application

The guidance in this document is generic and is intended to be applicable to any organization applying an SMS, regardless of the organization's type or size, or the nature of the services delivered. While it can be used 'regardless of the organization's type or size, or the nature of the services delivered', ISO/IEC 20000-1 has its roots in IT. It 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.

The service provider is accountable for the SMS and therefore cannot ask another party to fulfil the requirements of ISO/IEC 20000-1:2018, Clauses 4 and 5. For example, the organization cannot ask another party to provide the top management and demonstrate top management commitment or to demonstrate the control of parties involved in the service lifecycle.

Some activities in ISO/IEC 20000-1:2018, Clauses 4 and 5 can be performed by another party under the management of the organization. For example, an organization can ask another party to create the initial service management plan as a key document for the SMS. The plan, once created and agreed, is the direct responsibility of and is maintained by the organization. In these examples, the organization is using other parties for specific short-term activities. The organization has accountability, authorities, and responsibility for the SMS. The organization can therefore demonstrate evidence of fulfilling all of the requirements of ISO/IEC 20000-1:2018, Clauses 4 and 5.

For ISO/IEC 20000-1:2018, Clauses 6 to 10, an organization can show evidence of meeting all of the requirements itself. Alternatively, an organization can show evidence of retaining accountability for the requirements when other parties are involved in meeting the requirements in ISO/IEC 20000-1:2018, Clauses 6 to 10. Control of other parties involved in the service lifecycle can be demonstrated by the organization (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 in ISO/IEC 20000-1 if other parties are used to provide or operate *all* services, service components, or processes within the scope of the SMS. However, if other parties provide or operate only *some of* the services, service components, or processes, the organization can normally demonstrate evidence of meeting the requirements specified in ISO/IEC 20000-1.

The scope of this document excludes the specification of products or tools. However, ISO/IEC 20000-1 and this document can be used to help with the development or acquisition of products or tools that support the operation of an SMS.

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1.3 Structure

This document follows the clauses in ISO/IEC 20000-1 and, from Clause 4 onwards, provides three sections per clause or sub-clause:

a) *Required activities*: a summary of the activities required by this clause in ISO/IEC 20000-1 Note that this summary does not replicate the requirement statements in ISO/IEC 20000-1 or add new requirements, but simply describes the activities;

b) *Explanation*: an explanation of the purpose of the clause and practical guidance on clause contents, including examples and recommendations on how to implement the requirements of ISO/IEC 20000-1. When relevant, it refers to other parts of ISO/IEC 20000 and other relevant standards;

c) *Other information*: guidance on roles and responsibilities and on documented information supporting the implementation of an SMS. Further relevant information can also be included.

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 Context of the organization

4.1 Understanding the organization and its context

4.1.1 Required activities

The organization determines external and internal issues relevant to its purpose and affecting its ability to achieve the intended outcomes of the SMS.

4.1.2 Explanation

The purpose of this required activity is to set the context by determining those issues that are relevant to the organization's purpose and influence its ability to achieve the intended outcomes of the SMS. These outcomes include the delivery of value to its customers. Issues can vary, e.g. internal or external, positive or negative. All issues taken together provide the basic context in which the organization establishes its SMS.

NOTE The word 'issue' in this context can be factors or attributes that have a positive or negative impact. These are important topics, factors, or attributes for the organization in the context of its ability to deliver services of an agreed quality to its customers.

To implement an SMS successfully, the organization identifies and documents its internal and external context. Context includes the nature of the organization itself, the needs and expectations

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of other interested parties that have a stake in the SMS, and the scope of the SMS itself. Based on an understanding of these issues, the SMS can be established.

Early in the planning stage, the organization should establish how ISO/IEC 20000-1 is applicable to the organization's context, so that the initial scope of the SMS can be documented. Failing to identify the context, interested parties, and scope can lead to an unsuccessful or inefficient SMS.

Because external and internal issues can change, the organization can review its context at planned intervals and through management review.

EXAMPLE Internal issues can include policies, resources, capabilities, people, skills and knowledge, organizational structure, governance, culture, internal customer demands, and finance. External issues can include market, political, economic, and environmental influences, competition, laws and regulations, external customer demands, and the likelihood of events that could affect the services.

4.1.3 Other information

A list of internal and external issues affecting the SMS is developed and should be documented.

Establishing the context of the organization is completed at the top management level, who may have the assistance of technical and business analysts.

4.2 Understanding the needs and expectations of interested parties

4.2.1 Required activities

The organization determines interested parties relevant to the SMS and the services and their requirements.

4.2.2 Explanation

The purpose of this required activity is to ensure that the organization identifies requirements of relevant interested parties to support the SMS to deliver services. An interested party is a person or group that can affect or can be affected by a decision or activity related to the SMS. They can be internal or external to the organization. An interested party can also be known as a stakeholder.

EXAMPLE Interested parties can include customers and customer representatives, top executives, management representatives, account management, personnel, support functions within the organization (e.g. technology support, human resources, facilities, legal, recruitment, procurement), suppliers, partners, regulators, auditors, trade and professional associations, and competitors.

The organization identifies the interested parties and their relevance to the achievement of service management objectives or to the delivery of services, including their requirements for the SMS or the services. An interested party can affect the performance and effectiveness of the SMS and the services, influence the market, or create and mitigate risks.

Interested parties' requirements can include the following:

a) service requirements such as service level targets, capacity, performance, service level requirements, service continuity, information security, or availability requirements;

b) legal and regulatory requirements imposed by external authorities, such as national or regional laws and regulations;

c) contractual obligations to partners, customers, or suppliers.

4.2.3 Other information

The organization documents a list of interested parties with their specific interests and their requirements for the SMS and the services.

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Identifying interested parties is completed at the top management level, who may have the assistance of technical and business analysts.

4.3 Determining the scope of the service management system

4.3.1 Required activities

The organization determines the boundaries and applicability of the SMS to establish its scope.

4.3.2 Explanation

The purpose of this required activity is to use the information gathered about the issues and requirements of interested parties to define exactly what part of the organization and what services are to be included within the SMS. Establishing the scope is therefore a key activity that determines the necessary foundation for all other activities in the implementation of the SMS.

The organization takes into account the following inputs when documenting the scope of the SMS:

a) the internal and external issues;

b) the needs and expectations of internal and external interested parties;

c) what services or types of services are offered to customers, e.g.

- a single service, group of services, or all services;
- IT services, cloud services;
- technology services to support facilities management, business process outsourcing;
- technology services to support any sector's business such as telecommunications, finance, retail, tourism, utilities;

d) the number and type of customers, e.g. a single customer, a specific customer sector, external or internal customers;

e) the locations from which the services are to be delivered.

The services considered at c) can be all or some of the services that are agreed to be in the scope of the SMS. The services in the scope of the SMS can be all or some of the services delivered by the organization. The services in the scope of the SMS can be listed individually or grouped. The name of the organization that manages and provides the services is included; however, the scope statement should not include the names of other parties contributing to the delivery of the service, such as outsourcing partners.

4.3.3 Other information

The organization documents a scope statement for the SMS, following the guidance provided in ISO/IEC 20000-3.

Defining a scope statement for the SMS is completed at the top management level; subject matter experts such as technical and business analysts may assist.

4.4 Service management system

4.4.1 Required activities

The organization establishes, implements, maintains, and continually improves the SMS.

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4.4.2 Explanation

The purpose of this required activity is to ensure that all required elements are assembled to establish, implement, maintain, and continually improve the SMS.

Once the context, interested parties and their requirements, and the scope have been agreed, the organization decides how the requirements in ISO/IEC 20000-1 are to be implemented as processes. For example, are the processes in the SMS going to reflect exactly the clauses in ISO/IEC 20000-1 or will they be combined, separated, or named in a different way?

To gain the most value from processes, it is essential to keep the processes current. An approach for routine process evaluation will benefit the organization. As processes are deployed and implemented, routine reviews include a review of their performance to optimize the process results.

The plans and aspirations of the organization can be considered when establishing and implementing the SMS so that maintenance and continual improvement can be performed efficiently. See Clause 6 for more information.

4.4.3 Other information

The organization documents the SMS to meet the requirements of ISO/IEC 20000-1:2018, 7.5.

Top management provides the basis and the authority to proceed with the establishment of the SMS. The responsibility for establishing the SMS may then be delegated to authorised personnel in the organization.

5 Leadership

5.1 Leadership and commitment

5.1.1 Required activities

Top management demonstrates leadership and commitment with respect to the SMS.

5.1.2 Explanation

The purpose of this required activity is to ensure that top management demonstrates leadership and commitment to support the establishment and operation of an SMS. Top management is defined as 'the person or group of people who directs and controls an organization at the highest level.' Top management, i.e. the level of management in the organization that has the authority and capability to initiate the development of an SMS, also provides the needed resources for the continuing support of the SMS and is accountable for the achievement of the objectives and intended outcomes of the SMS and services. The right level of involvement and commitment is essential to successfully implement an SMS in support of the services it provides to customers.

Top management is accountable for ensuring that the SMS and the services are reviewed regularly. Further information about management reviews can be found in 9.3.

Top management establishes a service management policy, as well as service management objectives, describing their high-level vision of, and targets for, service management in the organization. Top management does so in a way that is aligned with the overall business objectives and strategic direction of the organization, as the policy and objectives are there to support the organization's business.

Based on the service management policy and objectives, top management directs the development and maintenance of a service management plan, which is the overarching document that provides a summary and describes the intent of the SMS for the organization.

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Top management assigns levels of authority, appropriate to the size and complexity of the organization, and delegates responsibility, so that the appropriate personnel are authorized to make decisions related to the SMS and the services.

Top management determines what constitutes value for the organization and for the customers. The creation of value from services includes realizing benefits at an optimal resource level while managing risk. An asset, service component, and a service are examples that can be considered value. Internally, value can include increased employee satisfaction, reduced costs, and increased revenue. Externally, value is determined by the service outcomes and benefits that customers perceive from the use of the services provided.

Top management considers the relationship of the SMS to achievement of the business outcomes. Top management ensures that service management requirements and objectives are in line with the business outcomes and processes of the organization. This approach prevents conflicts between service management processes and business processes that are supported by the SMS.

Top management ensures that the SMS is integrated into the organization's business processes. For example, the SMS requirements are not labelled and undertaken as an 'add-on' to the normal business processes but are part of the normal business processes. In this way, there is more certainty that the requirements will become part of business as usual and will be more likely to gain the benefits and outcomes that are expected.

Top management commits resources to support the SMS and the services; these include personnel, financial, technical, enabling services, and any other resources. When needed, top management supports other management roles so that they can be effective in their leadership roles and contribute to the success of the SMS and the services.

Top management communicates with the members of the organization about the importance of the SMS to the organization as a means of increasing its efficiency and effectiveness. Top management also communicates to personnel the importance of the SMS to achieve the service management objectives and to deliver value to the organization and its customers. Top management should also ensure that the organization establishes effective feedback loops to enable bi-directional and lateral communications on the SMS and the services.

Top management facilitates and promotes continual improvement of both the SMS and the services, with the aim of increasing the value provided by the services to customers, end users, and the organization itself. Personnel also contribute to the effectiveness of the SMS and the services, for example through identifying opportunities for improvement to enhance the effectiveness of the SMS and the quality of the services.

5.1.3 Other information

Documented information required for top management involvement includes the following:

a) the service management policy;

b) the service management plan;

c) the service management objectives;

d) records of required communication.

Top management has the power to delegate authority and provide resources within the organization. If the scope of the management system covers only part of an organization then top management refers to those who direct and control that part of the organization.

It is recommended that the relationship between top management in the context of ISO/IEC 20000-1 and the highest level governing body, if one exists in the organization, is made specific.

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The governing body can be involved with the SMS by:

a) reviewing the alignment of the organization's strategy and service management policy;

b) reviewing that appropriate levels of authority are assigned for making decisions related to the SMS and the services;

c) receiving and reviewing information at planned intervals about the content and operation of the organization's SMS;

d) exercising reasonable oversight of the implementation, operation, and effectiveness of the organization's SMS.

These activities may be carried out by top management if the organization does not have a separate governing body.

NOTE ISO/IEC 38500:2015 provides guidance on and principles for the governance of IT.

5.2 Policy

5.2.1 Required activities

Top management establishes a service management policy.

5.2.2 Explanation

The purpose of this required activity is to document the high-level intentions of the SMS in a service management policy and to give direction to the organization with regard to service management. This policy is widely available and communicated to all relevant personnel and external interested parties.

The service management policy is specific to the organization's circumstances and objectives and includes a customer focus. The policy should not be a generic, broadly applicable statement.

The policy represents organizational strategy and commitment to deliver value to the organization and customers.

The policy applies to the agreed scope of the SMS and forms the foundation of the organization's service management objectives and the service management plan.

The policy gives clear direction to the organization's managers and personnel.

EXAMPLE 1 Services are aligned to the business objectives and both organizational and customer priorities.

EXAMPLE 2 Changes to processes or procedures are made through the change management process.

EXAMPLE 3 Roles and responsibilities for the service management processes are defined and documented in a consistent manner and personnel performance is measured against those responsibilities.

The organization structures the service management policy so that it states how the organization's service management objectives are set (see 6.2 for the relationship between objectives and measures). It should be possible to demonstrate a link between the service management policy and the activities to achieve the organization's service management objectives.

A commitment to continual improvement of the SMS and the services is part of the policy.

The organization communicates the service management policy so that it is understood within the organization. It is also made available to customers and suppliers or other interested parties as required.

When other management systems are used in addition to the SMS (such as a quality management system), it is advisable for the service management policies to be consistent with the relevant policies of the other management systems used by the organization. However, any service management policy

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should remain relevant to the SMS and the services. This helps with integrating the various management systems and provides clarity to the organization's personnel.

Top management ensures that the service management policy is reviewed at suitable intervals, usually annually. This review is used to identify any deficiencies and ensure continual alignment with business needs and customer priorities.

NOTE The policy can also be reviewed to ensure alignment if service management objectives have changed.

5.2.3 Other information

The service management policy is available as documented information.

Top management is the authoritative party establishing the service management policy with input from relevant personnel in the organization.

The governing body, if one exists, should be involved with the SMS by approving the organization's service management policy.

5.3 Organizational roles, responsibilities, and authorities

5.3.1 Required activities

Top management ensures that responsibilities and authorities for roles relevant to service management are assigned and communicated throughout the organization.

5.3.2 Explanation

The purpose of this required activity is to clearly identify and express the authorities and responsibilities for the various roles that contribute to the success of the SMS and the services.

Top management identifies the roles required for all aspects of the SMS, such as design, implementation, review, and improvement. Specific responsibilities and authorities are assigned to personnel who are responsible for making decisions regarding the SMS and the services, so that the SMS conforms to the requirements of ISO/IEC 20000-1. Once all the required roles are identified, the responsibility is defined for each of the roles, along with the specific outcomes expected from them. The roles are empowered with the required authority to take decisions expected by their roles. These roles, responsibilities, and authorities are clearly communicated in the organization.

Depending on the size and complexity of the organization, one individual may have several roles, or one role may be performed by multiple individuals. Such role allocation is not intended to limit flexibility in assignment of tasks and accountability.

Based on the service management objectives and service requirements, the performance of the SMS and the services is regularly reported to top management and reviewed for conformance to the service management policy and to identify improvement opportunities.

5.3.3 Other information

The roles, responsibilities, and authorities of various personnel involved in the establishment and management of the SMS and the services are documented and widely communicated within the organization and to other interested parties.

Responsibility and accountability for each service and SMS process (or group of services or processes) should be clearly delineated. The authorities and responsibilities for each service management process in the SMS can include:

a) a process owner role, responsible for the design of the process, ensuring adherence to the process, and the measurement and improvement of the process;

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b) service owner role (can be a member of top management or an operational manager), responsible for a service throughout the service lifecycle, including planning, design, transition, delivery, improvement, and retirement;

c) a process manager role, responsible for the operation of the process and the management of the process management resources;

d) personnel who perform the procedures of the process.

The role with the responsibility and authority for ensuring conformance to the requirements of ISO/IEC 20000-1 and reporting to top management can be called the management representative. Examples of additional roles are service desk manager, infrastructure manager, information security officer, service continuity manager.

The documented information about roles, responsibilities, and authorities clearly outlines the various functions supporting the SMS and the services as well as their responsibilities and authorities. These functions, responsibilities, and authorities are determined by top management. Note that ISO/IEC 20000-1:2018, 5.3 requires top management to assign authority and responsibility to persons who report on performance of the SMS and service to top management.

6 Planning

6.1 Actions to address risks and opportunities

6.1.1 Required activities

Risks and opportunities are identified with a risk assessment to assure that the SMS can achieve its intended outcomes and is continually improved. A risk management approach to deal with risks is developed and actions to treat risks are determined and planned.

6.1.2 Explanation

The purpose of this required activity is to identify and address risks and opportunities to the SMS and the services. The internal and external issues determined as described in 4.1 and the requirements of interested parties as described in 4.2 are taken into account to determine risks and opportunities affecting the SMS. This assessment focuses on:

a) identifying the risks that can affect the achievement of outcomes for the SMS;

b) preventing or reducing undesired impact on the SMS and the services caused by these risks;

c) providing input to continual improvement of the SMS and the services.

As part of a risk management process, various risks are determined, related to:

— the organization itself, such as its structure and culture, but also market conditions and competition;

— the possibility of not being able to fulfill service requirements, such as due to natural conditions, supply-chain issues or financial issues;

— other parties' involvement, such as in outsourcing situations where suppliers provide or operate (part of) the services.

The impact and probability of these risks are determined as they relate to the SMS, the services, and the customers. Based on the organization's risk acceptance criteria, which are functions of the organization's risk appetite, the organization determines the approach to treat these risks. This determination is done with some regularity or in response to changes in context. Examples of risk acceptance criteria are risks with a score that falls below an acceptable threshold or risks that are above the threshold but are accepted by top management. Risk management within the SMS should be closely aligned to the organization's risk management framework to ensure consistent definition and treatment of risks.

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Possible risk treatment actions can include:

a) Avoiding the risk by taking measures to steer away from it, for instance by only allowing authorised personnel to download software onto all company owned mobile devices;

b) Considering the risk to be an opportunity, in case a positive effect is expected, for instance by embracing the positive effect of increased revenue when demand for a service suddenly increases;

c) Reducing the risk by removing its source, changing the likelihood of the risk occurring or reducing its impact, for example by patching a vulnerability on a service asset;

d) Transferring to or sharing the risk with another party that is willing to accept it, for example when it is another party that manages part of the service that forms a risk;

e) Accepting the risk by evaluating its consequences and determining it is acceptable; this is a top management decision that should be documented for future reference.

Risks are also considered specifically as input for the service continuity and information security processes. Further information about the risk requirements in these processes can be found in 8.7.2 and 8.7.3.

NOTE ISO 31000 contains an extensive general framework for risk management, including principles and treatment options.

6.1.3 Other information

Documented information related to risks can include the approach to be taken for the management of risks and a risk register.

Top management or their delegates are the main roles accountable for risks. A risk manager can be appointed to lead the risk management process.

6.2 Service management objectives and planning to achieve them

6.2.1 Required activities

Service management objectives are defined in alignment with the business objectives and the service management policy so that the SMS and the services are focused on meeting the business needs and service requirements.

6.2.2 Explanation

The purpose of this required activity is to define and document measurable objectives that will provide a focus for operating the SMS and its defined services to meet the organization's business needs. These defined service management objectives are achievable within a specified time in line with the service management policy. The organization reviews the objectives periodically to ensure the relevance and need for updating the objectives based on the changes to the business needs, services, or service management policies.

Once defined, objectives are communicated to all relevant parties and progress is monitored in achieving the objectives.

When establishing the service management objectives, the organization seeks to understand the requirements and objectives of the business, customers, and other interested parties.

Organizations define service management objectives in such a way that achievements against the objectives can be accurately measured.

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The organization's plans to achieve the service management objectives include the processes, resources, activities, and responsibilities needed to achieve the objectives and evaluate the results. Timelines are determined for the achievement of the objectives.

6.2.3 Other information

The service management objectives and the plans to achieve the objectives are documented. These are often included in the service management plan.

Top management is held accountable for establishing the service management objectives and planning to achieve the objectives. The organization identifies other parties involved in achieving the service management objectives. These parties can include personnel of the organization, suppliers, and customers.

Other roles appointed by management can be made responsible for the measurement and achievement of the service management objectives.

6.3 Plan the service management system

6.3.1 Required activities

The organization creates, implements, and maintains a service management plan that reflects the service management policy, objectives, and service requirements.

6.3.2 Explanation

The purpose of this required activity is to plan the SMS and describe its design in a service management plan that will aid understanding of the SMS in order to support the delivery of the services.

The plan is aligned with the service management policy and provides an overview of how the SMS is to be implemented within the organization. Key inputs to the service management plan (in addition to service management policies) include service management objectives, business strategy, and service requirements.

The organization communicates the plan to all interested parties.

The plan is reviewed regularly, at least annually, and, as needed, updated to accommodate the changing business needs, customer requirements, or priorities of the organization.

The contents of the service management plan include or refer to the following:

a) the scope of services, e.g. the names of the services or groups of services in the scope of the SMS;

b) known limitations that may affect the SMS and the services, e.g. the organization's personnel having limited availability to support the services outside of office hours;

c) obligations and how these apply to the SMS and the policies. These obligations are vital to get right and keep up to date because they will affect the design of the SMS and the services, and are referred to by asset management (ISO/IEC 20000-1:2018, 8.2.5) and information security management (ISO/IEC 20000-1:2018, 8.7.3). The obligations include:

   — organizational policies, e.g. financial policies, technical architecture policies;

   — other applicable standards, e.g. ISO/IEC 27001, non-ISO standards;

   — legal and regulatory requirements, e.g. data protection laws, sector regulations;

   — typical or specific contractual requirements, e.g. service penalties.

d) authorities and responsibilities identified as necessary to support the SMS and the services;

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e) resources, including human, financial, technical, and information resources, that are required to support the SMS and the services;

f) working relationships with other parties that have involvement in the service lifecycle, such as internal or external suppliers, including how to manage these relationships;

g) technology used to support the SMS and the services, such as communication technology, systems, service management tools, and other technologies;

h) the approach to measuring the effectiveness of the SMS and the services as well as auditing the SMS, reporting on the service achievements, and improvement of the SMS and the services;

i) the service management objectives.

Risks and opportunities that would cause the plan to be adjusted are identified, assessed, and managed both initially and as part of continual improvement of the SMS and services.

The plan is also designed to explain how the agreed objectives and service requirements can be achieved. If they are not met, the plan also includes how corrective actions will be implemented to achieve the objectives and improve the SMS and services.

The activities covered in the service management plan are integrated with other planning activities to deliver the services and achieve the service management objectives.

6.3.3 Other information

The organization documents the service management plan, including references to other relevant documents.

Top management is accountable for the creation and maintenance of the service management plan. Responsibility is given to appropriate personnel in the organization to create, review, and maintain the service management plan in collaboration with other parties and roles that need to be involved.

7 Support of the service management system

7.1 Resources

7.1.1 Required activities

The organization determines what resources are needed and makes them available to establish, implement, maintain, and improve the SMS and the services.

7.1.2 Explanation

The purpose of this required activity is to ensure that sufficient resources are available to operate the SMS and deliver the services.

The resources fundamental to the performance of any service activity can include:

a) human resources, e.g. top management, personnel involved in the management of the SMS and services, and people to design, implement, and operate the SMS;

b) technical resources, e.g. IT systems and tools to support the processes and services in the scope of the SMS, to collect service measurement, to report on performance, and to communicate with customers and other parties;

c) information, e.g. details of agreed customer requirements, the organization's service management objectives, service management policies, and procedures;

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