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BSI Standards Publication

Information technology — Service management

Part 11: Guidance on the relationship between ISO/IEC 20000-1:2011 and service management frameworks: ITIL®

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National foreword

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The UK participation in its preparation was entrusted by Technical Committee IST/60, IT Service Management and IT Governance, to Subcommittee IST/60/2, IT Service Management.

A list of organizations represented on this committee can be obtained on request to its secretary.

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Published by BSI Standards Limited 2016

ISBN 978 0 580 81287 3
ICS 03.080.99; 35.020

Compliance with a British Standard cannot confer immunity from legal obligations.

This Published Document was published under the authority of the Standards Policy and Strategy Committee on 31 January 2016.

Amendments/corrigenda issued since publication

Date	Text affected

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TECHNICAL REPORT

ISO/IEC TR 20000-11

First edition
2015-12-15

Information technology — Service management —

Part 11: Guidance on the relationship between ISO/IEC 20000-1:2011 and service management frameworks: ITIL®

Technologies de l'information — Gestion des services —

Partie 11: Relations entre ISO/IEC 20000-1:2011 et les référentiels de gestion de service: ITIL®

Reference number
ISO/IEC TR 20000-11:2015(E)

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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).

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For an explanation on the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the WTO principles in the Technical Barriers to Trade (TBT), see the following URL: Foreword — Supplementary information.

The committee responsible for this document is ISO/TC JTC 1, *Information technology*, Subcommittee SC 40, *IT Service Management and IT Governance*.

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*

— *Part 9: Guidance on the application of ISO/IEC 20000–1 to cloud services* [Technical Report]

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

— *Part 11: Guidance on the relationship between ISO/IEC 20000–1:2011 and service management frameworks: ITIL®*[1)], [Technical Report]

The following parts are under preparation:

— *Part 6: Requirements for bodies providing audit and certification of service management systems*

— *Part 8: Guidance on the application of service management systems for smaller organizations*

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— *Part 12: Guidance on the relationship between ISO/IEC 20000–1:2011 and service management frameworks: CMMI-SVC®*[2] [Technical Report]

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Introduction

This part of ISO/IEC 20000 can assist readers in relating the requirements specified in ISO/IEC 20000–1:2011 to supporting text in one of the most commonly used service management frameworks, ITIL. Service providers can refer to this guidance as a cross-reference between the two documents to help them plan and implement a service management system (SMS).

A description of the purpose and content of both publications is followed by a table showing high-level correlations between ITIL and clauses in ISO/IEC 20000–1:2011. Annex A provides a comparison of terms and definitions. Annex B provides information on the ITIL text that correlates with requirement clauses of ISO/IEC 20000–1:2011.

ISO/IEC 20000–1:2011 is the International Standard for service management and specifies requirements which can be used as the basis of a conformity assessment. ISO/IEC 20000–1:2011 can be used in different ways, including:

a) as a source of requirements for service providers on the design, transition, delivery and improvement of services and service management capabilities;

b) to establish a consistent approach for an organization to use with all of its service providers, including those in its supply chain;

c) as an unbiased basis to assess, measure and report service delivery and management capabilities including performance of specific service management processes;

d) as a set of criteria for audit and assessment of a service provider's SMS, including service management processes.

ISO/IEC 20000–1:2011 specifies an integrated process approach when the service provider plans, establishes, implements, operates, monitors, reviews, maintains and improves a service management system (SMS). The services can be delivered to internal or external customers or a combination of both. ISO/IEC 20000–1:2011 requires the application of the methodology known as "Plan–Do–Check–Act" (PDCA) to all parts of the service management system (SMS) and the services. Other parts of ISO/IEC 20000 provide supporting guidance.

ITIL is defined in the ITIL Glossary as:

"A set of best-practice publications for IT service management. Owned by Axelos, ITIL gives guidance on the provision of quality IT services and the processes, functions and other capabilities needed to support them. The ITIL framework is based on a service lifecycle and consists of five lifecycle stages (service strategy, service design, service transition, service operation and continual service improvement), each of which has its own supporting publication. There is also a set of complementary ITIL publications providing guidance specific to industry sectors, organization types, operating models and technology architectures. See https://www.axelos.com/best-practice-solutions/itil *for more information."*

AXELOS has agreed on the development of this Technical Report. ITIL®, including the ITIL Glossary, is owned by AXELOS.

ITIL is organized around a service lifecycle framework and provides detailed guidance gathered from practical industry experience.

Service providers can implement and improve their SMS using the requirements specified in ISO/IEC 20000–1:2011, the guidance in the other parts of ISO/IEC 20000 and ITIL. Both ISO/IEC 20000 and ITIL provide guidance to identify, plan, design, deliver and improve services that deliver value to the business and its customers. A service provider can adopt ITIL processes to enable them to plan, deliver and manage their services in alignment with the requirements specified in ISO/IEC 20000–1:2011. Other guidance can also be used to support ISO/IEC 20000–1:2011.

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TECHNICAL REPORT **ISO/IEC TR 20000-11:2015(E)**

Information technology — Service management —

Part 11: Guidance on the relationship between ISO/IEC 20000-1:2011 and service management frameworks: ITIL®

1 Scope

This part of ISO/IEC 20000 is a Technical Report that provides guidance on the relationship between ISO/IEC 20000–1:2011 and a commonly used service management framework, ITIL. It can be used by any organization or person wishing to understand how ITIL can be used with ISO/IEC 20000–1:2011, including:

a) a service provider that has demonstrated or intends to demonstrate conformity to the requirements specified in ISO/IEC 20000–1:2011 and is seeking guidance on the use of ITIL to establish and improve an SMS and the services;

c) a service provider that already uses ITIL and is seeking guidance on how ITIL can be used to support efforts to demonstrate conformity to the requirements specified in ISO/IEC 20000–1:2011;

d) an assessor or auditor who wishes to understand the use of ITIL as support to achieve the requirements specified in ISO/IEC 20000–1:2011.

The correlations provided in this part of ISO/IEC 20000 are for ISO/IEC 20000–1:2011 and ITIL–2011.

Clause 4 describes how ITIL can support the demonstration of conformity to ISO/IEC 20000–1:2011. Clause 5 relates chapters in ITIL to clauses in ISO/IEC 20000–1:2011. The tables in Annex A and Annex B relate terms, clauses and processes in ISO/IEC 20000–1:2011 to ITIL.

2 Normative references

The following document, in whole or in part, is normatively referenced in this document and is 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 20000–1:2011 apply.

4 Use of ISO/IEC 20000–1:2011 and ITIL

4.1 Introduction to ISO/IEC 20000–1:2011

ISO/IEC 20000–1:2011 specifies requirements for an SMS that can be used for improvement, benchmarking and as the basis for a conformity assessment of a service provider's SMS.

ISO/IEC 20000–1:2011, Clause 4, specifies the general requirements for an SMS. In ISO/IEC 20000–1:2011, Clauses 5 to 9, it specifies the requirements for the service management processes, as shown in Table 1.

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Table 1 — Service management processes in ISO/IEC 20000–1:2011

Process group	Clause	Process
—	5	Design and transition of new or changed services
Service delivery processes	6	Service-level management Service reporting Service continuity and availability management Budgeting and accounting for services Capacity management Information security management
Relationship processes	7	Business relationship management Supplier management
Resolution processes	8	Incident and service request management Problem management
Control processes	9	Configuration management Change management Release and deployment management

ISO/IEC 20000–1:2011 requires the application of the methodology known as "Plan–Do–Check–Act" (PDCA) to all parts of the service management system (SMS) and the services. Figure 1 illustrates how the PDCA methodology can be applied to the SMS, including the service management processes specified in ISO/IEC 20000–1:2011, Clauses 5 to 9 and the services.

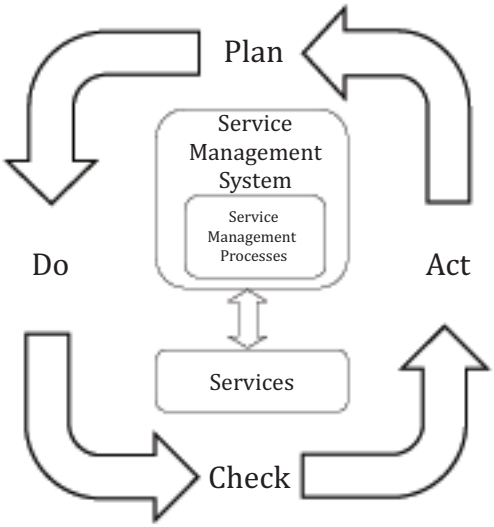

Figure 1 — PDCA methodology applied to service management

Figure 2 illustrates an SMS, including the service management processes. The service management processes and the interfaces between them can be implemented in different ways by different service providers. The nature of the relationship between a service provider and the customer, the business objectives and the scope of the SMS will influence how the service management processes are implemented.

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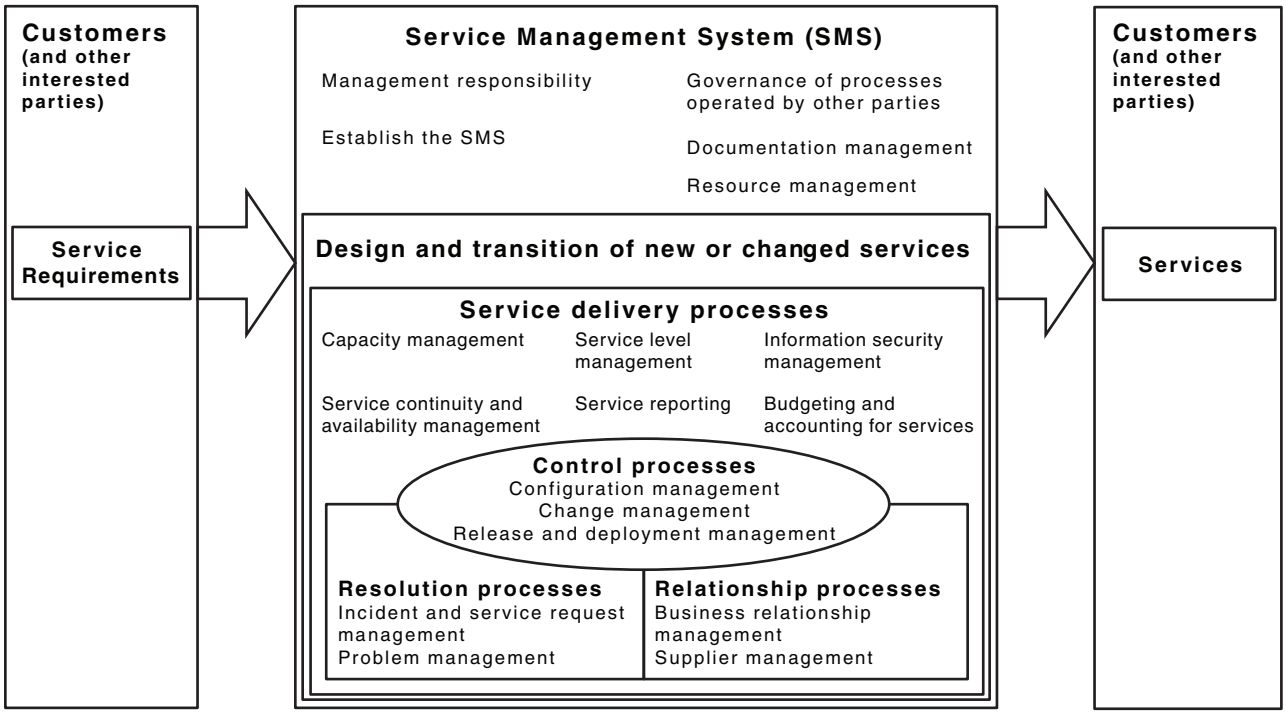

Figure 2 — Service management system

ISO/IEC 20000–1:2011 supports the integration of an SMS with other management systems in the service provider's organization. The adoption of an integrated process approach and a PDCA based methodology enables the service provider to align or fully 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.

ISO/IEC 20000 contains requirements in ISO/IEC 20000–1:2011 and guidance in other parts. ISO/IEC 20000–2:2012 is an important reference for a service provider implementing the requirements specified in ISO/IEC 20000–1:2011. Guidance on how an organization can implement ISO/IEC 20000–1:2011 in phases is provided in ISO/IEC TR 20000–5. Guidance on how to define the scope of an SMS and how to determine applicability to achieve conformity to the requirements specified in ISO/IEC 20000–1:2011 is provided in ISO/IEC 20000–3:2012. Guidance is also provided in the other parts of ISO/IEC 20000. The service provider can also use a combination of other guidance and its own experience. One example of other guidance is ITIL.

To demonstrate conformity to ISO/IEC 20000–1:2011, the service provider should implement an SMS that encompasses the following:

a) the SMS general requirements, specified in ISO/IEC 20000–1:2011, Clause 4, demonstrating management commitment, governance of processes operated by other parties, management of documentation and management of resources. These requirements include the operation of continual improvement of the SMS using the PDCA methodology;

b) management of service lifecycles including the design, development and transition of new services, changing services, closure of services or transfer of services to others in a controlled manner, as specified in ISO/IEC 20000–1:2011, Clause 5;

c) for the service management processes specified in ISO/IEC 20000–1:2011, Clause 5 to 9, all processes should be in place and their documented and measurable performance should demonstrate conformance with the requirements detailed in these clauses.

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4.2 Introduction to ITIL

ITIL provides guidance to service providers on the provision of services and on the processes, functions and other capabilities needed to support the services. ITIL can be used to support the design, development and implementation of service management processes as part of an SMS.

ITIL is a service management framework based on five ITIL core service lifecycle publications: Service Strategy, Service Design, Service Transition, Service Operation, and Continual Service Improvement. Each publication provides part of the guidance to support an integrated approach as required by ISO/IEC 20000–1:2011.

ITIL does not contain requirements for use in a conformity assessment because it is a best–practice framework and implementation should be customized to individual requirements. The use of ITIL should be guided by the service provider's service management policies, objectives and plans.

ITIL can be adapted to support various business environments, individual organizations and situations. For example in larger organizations, a process or function can be performed across many departments or several functions can be combined into one organizational unit, e.g. the service desk. In smaller organizations one person can perform multiple functions or participate in multiple processes.

The 26 processes and four functions of ITIL are summarized in Table 2.

Table 2 — ITIL lifecycle stages, processes and functions

Lifecycle stages	Processes	Functions
Service Strategy	Strategy management for IT services Service portfolio management Financial management for IT services Demand management Business relationship management	
Service Design	Design coordination Service catalogue management Service-level management Availability management Capacity management IT service continuity management Information security management Supplier management	
Service Transition	Transition, planning and support Change management Service, asset and configuration management Release and deployment management Service validation and testing Change evaluation Knowledge management	
Service Operation	Event management Incident management Request fulfilment Problem management Access management	Service desk Technical management IT operations management Application management

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Table 2 *(continued)*

Lifecycle stages	Processes	Functions
Continual Service Improvement (CSI)	Seven-step improvement process	

In ITIL, service reporting is not a process, but an activity to be carried out across many processes.

ITIL guidance covers how to define the roles and responsibilities required to undertake the processes and activities involved in each lifecycle stage. The processes are primarily covered in connection with one lifecycle stage but they are used across lifecycle stages. ITIL provides advice on defining roles and assigning roles to individuals within an appropriate organization structure of teams, groups or functions. One person can have more than one role.

The ITIL Service Operation publication defines four functions that illustrate how service management can work in practice. The other core ITIL publications do not define any functions in detail but they do rely on the technical and application management functions described in ITIL Service Operation. Technical and application management provide the technical resources and expertise to support the whole service lifecycle, and practitioner roles within a particular lifecycle stage can be performed by members of these functions.

4.3 Relationship between ISO/IEC 20000–1:2011 and ITIL

ISO/IEC 20000–1:2011 and ITIL are not based on each other, but they have features in common and there are relationships between the two. There is a strong correlation between most of the ITIL–2011 guidance and requirements in ISO/IEC 20000–1:2011. Any differences are generally related to their purpose, format, structure, style and detail.

Using ISO/IEC 20000–1:2011 and ITIL together can support service providers intending to implement and derive the benefits from service management.

For service providers that wish to demonstrate conformance with the requirements specified in ISO/IEC 20000–1:2011, ITIL can be a starting point. Implementation teams can take the basic principles and approaches suggested by ITIL and adapt the framework to their service management objectives, organizational structure, existing roles and culture. For example, ITIL is a source for identifying key performance indicators for processes. As improvements are implemented, the ITIL framework can be used for ideas on measures and performance indicators to expand the SMS measurement and reporting capabilities.

As ISO/IEC 20000 specifies the critical aspects of service management, it can be used as an approach to navigate through the critical parts of service management frameworks such as ITIL. This can be achieved by looking at the ISO/IEC 20000 requirements and guidance then examining the more detailed guidance that can be found in the framework(s) of choice. This approach can therefore help service providers to identify and establish a solid foundation for service management that can be continually improved upon. Once the processes have been implemented, the service provider can do a gap assessment to see what improvements can be implemented.

Service improvement projects can include modifying or updating documented processes. Using the correlations in the annexes of this part of ISO/IEC 20000, the ITIL framework can be applied to find an extensive explanation of specific elements of the ISO/IEC 20000–1:2011 processes. By carefully reviewing and analyzing relevant sections of the ITIL framework, a service provider can better understand how to design, integrate or improve the ISO/IEC 20000–1:2011 process in question. The service provider can also use ITIL to consider and prioritize possible improvements to existing practices.

5 High-level correlation of ITIL to ISO/IEC 20000–1:2011 Clauses

A summary of the correlation between the main sections in the ITIL core publications to the ISO/IEC 20000–1:2011 subclauses is shown in Tables 3, 4, 5 and 6. This summary is derived from Annex B.

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Annex A compares terminology and Annex B provides a correlation of ISO/IEC 20000–1:2011 to ITIL. The tables do not attempt to show the correlation between every topic in ITIL to ISO/IEC 20000–1:2011.

Process areas and clauses where there is a correlation between ITIL and ISO/IEC 20000–1:2011 clauses are annotated [+]. Where a correlation is annotated [++] a strong correlation is present. This approach provides an overall sense of how the two documents are correlated. The different levels of granularity and structure between ITIL and ISO/IEC 20000–1:2011 mean the correlations are open to different interpretations. There can be other views on the strength of a given correlation.

There are correlations between ISO/IEC 20000–1:2011 clauses and ITIL process chapters in their titles (for example, ISO/IEC 20000–1:2011, 8.2, Problem management and ITIL Problem Management). There are also many correlations between other process areas (for example, ISO/IEC 20000–1:2011, 9.2, Change management, is referenced in many of the ITIL process areas as well as the ITIL Change Management process).

The more general requirements specified in ISO/IEC 20000–1:2011, Clause 4 cover the overarching concepts of the SMS. The requirements specified in ISO/IEC 20000–1:2011, Clause 5 cover the design and transition of new or changed services. The coverage of ISO/IEC 20000–1:2011, Clauses 4 and 5 is spread across multiple chapters of the ITIL material. ISO/IEC 20000–1:2011, Clauses 6 to 9 are generally well correlated to specific process chapters within each of the ITIL core publications.

Some of the specific support for ISO/IEC 20000–1:2011 throughout the ITIL publications is focused in the following areas.

a) All ITIL core publications include the ITIL Glossary. In Annex A, terms defined in the ITIL Glossary are compared with the terms defined in ISO/IEC 20000–1:2011, Clause 3. Annex A also identifies terms defined in the ITIL Glossary and used in ISO/IEC 20000–1:2011 without a special definition, but rather, used with their common English dictionary definitions.

b) All ITIL core publications have common chapters with the same content, as listed in Table B.1, that also generally support ISO/IEC 20000–1:2011, Clause 4.

c) All ITIL core publications have chapters with the same title, but lifecycle stage-specific content, such as the following:

    1) Chapter 3 — [Service lifecycle stage] principles;

    2) Chapter 6 — Organizing for [service lifecycle stage];

    3) Chapter 7 — Technology considerations;

    4) Chapter 8 — Implementing [service lifecycle stage];

    5) Chapter 9 — Challenges, risks and critical success factors;

NOTE ITIL text in this part of ISO/IEC 20000 is shown in a different font and in *italics*.

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Table 3 — High–level correlation of ITIL–2011 and ISO/IEC 20000–1:2011, Clause 4

ITIL Title	ITIL Process/Practice[a]	ISO/IEC 2000–1:2011 subclause								
		Management responsibility	Governance of process operated by other parties	Document management	Resource management	Define scope	Plan[b]	Do[c]	Check[d]	Act[e]
		4.1	4.2	4.3	4.4	4.5.1	4.5.2	4.5.3	4.5.4	4.5.5
All core publications	*2 Service management as a practice*	++		+			+			
	4.x.4.1 Policies, principles and basic concepts	+								
	4.x.6 Triggers, inputs and outputs			+						
	9.3 Critical success factors								+	
	Appendix Risk assessment and management							+		
Service Strategy	*1.1 Overview*	++								
	3 Service strategy principles	++	+	+		+				
	4.1 Strategy management for IT services	++				+	++	+	++	
	4.2 Service portfolio management			+		+		+	+	
	4.3 Financial management for IT services							+	+	
	4.4 Demand management				++			+	+	
	4.5 Business relationship management	+						+	+	
	5 Service strategy, governance and ITSM implementation strategies	+					++		++	
	6 Organizing for service strategy	++			+		+			
	8 Implementing service strategy	+								
	9 Challenges, risks and critical success factors	+							+	
Service Design	*3 Service design principles*			+		+	+			
	4.1 Design coordination							+	+	
	4.2 Service catalogue management			++				+	+	
	4.3 Service-level management		+	+				+	+	

[a] Process areas and clauses where there is a correlation between ITIL and ISO/IEC 2000–1:2011 clauses are annotated [+]. Where a correlation is annotated [++}, a strong correlation is present.

[b] Plan the SMS.

[c] Implement and operate the SMS.

[d] Monitor and review the SMS.

[e] Maintain and improve the SMS.

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Table 3 *(continued)*

ITIL Title	ITIL Process/Practice[a]	ISO/IEC 2000–1:2011 subclause								
		Management responsibility	Governance of process operated by other parties	Document management	Resource management	Define scope	Plan[b]	Do[c]	Check[d]	Act[e]
		4.1	4.2	4.3	4.4	4.5.1	4.5.2	4.5.3	4.5.4	4.5.5
	4.4 Availability management							+	+	
	4.5 Capacity management				++			+	+	
	4.6 IT service continuity management							+	+	
	4.7 Information security management			+				+	+	
	4.8 Supplier management		+					+	+	
	5 Common service operation activities					+				
	6 Organizing for service design				+		+			
	9 Challenges, risks and critical success factors								+	
	Appendix C Process documentation template			+						
Service Transition	*3 Service transition principles*				+					
	4.1 Transition planning and support							+	+	
	4.2 Change management							+	+	
	4.3 Service asset and configuration management	+		+				+	+	
	4.4 Release and deployment management							+	+	
	4.5 Service validation and testing							+	+	
	4.6 Change evaluation							+	+	
	4.7 Knowledge management			++				+	+	
	5.1 Managing people through service transitions	+								
	6 Organizing for service transition						+			
	9 Challenges, risks and critical success factors								+	
Service Operation	*3 Service operation principles*	+		+				++		

[a] Process areas and clauses where there is a correlation between ITIL and ISO/IEC 2000–1:2011 clauses are annotated [+]. Where a correlation is annotated [++}, a strong correlation is present.

[b] Plan the SMS.

[c] Implement and operate the SMS.

[d] Monitor and review the SMS.

[e] Maintain and improve the SMS.

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Table 3 *(continued)*

ITIL Title	ITIL Process/Practice[a]	ISO/IEC 2000–1:2011 subclause								
		Management responsibility	Governance of process operated by other parties	Document management	Resource management	Define scope	Plan[b]	Do[c]	Check[d]	Act[e]
		4.1	4.2	4.3	4.4	4.5.1	4.5.2	4.5.3	4.5.4	4.5.5
	4.1 Event management							+	+	
	4.2 Incident management							+	+	
	4.3 Request fulfillment							+	+	
	4.4 Problem management							+	+	
	4.5 Access management							+	+	
	6 Organizing for service operation				+		+			
	8 Implementation of service operation							++		
	9 Challenges, risks and critical success factors								+	
	Appendix B Communications in service operation	++								
CSI	*3 Continual service improvement principles*	+		+						++
	4.1 The seven-step improvement process	+					+	++	++	++
	5 Continual service improvement methods and techniques								++	++
	6 Organizing for continual service improvement				+		+			
	8 Implementing continual service improvement	+						+		
	9 Challenges, risks and critical success factors								+	

[a] Process areas and clauses where there is a correlation between ITIL and ISO/IEC 2000–1:2011 clauses are annotated [+]. Where a correlation is annotated [++}, a strong correlation is present.

[b] Plan the SMS.

[c] Implement and operate the SMS.

[d] Monitor and review the SMS.

[e] Maintain and improve the SMS.

Table 4 — High-level correlation of ITIL–2011 and ISO/IEC 20000–1:2011, Clause 5

ITIL Title	ITIL Process/Practice[a]	ISO/IEC 20000–1:2011 subclause			
		General	Plan new or changed services	Design and development of new or changed services	Transition of new or changed services
		5.1	5.2	5.3	5.4
Service Strategy	*3.4 How to define services*		++		
	4.1 Strategy management for IT Services				

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Table 4 *(continued)*

ITIL Title	ITIL Process/Practice[a]	ISO/IEC 20000–1:2011 subclause			
		General	Plan new or changed services	Design and development of new or changed services	Transition of new or changed services
		5.1	5.2	5.3	5.4
	4.2 Service portfolio management		++		
	4.3 Financial management for IT services		++		
	4.4 Demand management		+		
	4.5 Business relationship management		++		
Service Design	*3.11 Service design principles*	+		++	
	4.1 Design coordination		++	++	
	4.2 Service catalogue management			+	
	4.3 Service-level management			+	
	4.4 Availability management			+	
	4.5 Capacity management			+	
	4.6 IT service continuity management			+	
	4.7 Information security management			+	
	4.8 Supplier management			+	
	Appendix A The service design package	+	++	++	
	Appendix B Service acceptance criteria (example)	+	++		++
Service Transition	*4.1 Transition planning and support*		++		++
	4.2 Change management	++	+		
	4.3 Service asset and configuration management		+		
	4.4 Release and deployment management				++
	4.5 Service validation and testing		+		++
	4.6 Change evaluation	+	+		++
	4.7 Knowledge management				
	5.2 Managing organization and stakeholder change		+		
	5.3 Stakeholder management		+		
	6.3 Organizational context for transitioning a service				++
Service Operation	*3.4.2 Operation staff involvement in other service lifecycle stages*				+
	4.1 Event management				
	4.2 Incident management				
	4.3 Request fulfillment				
	4.4 Problem management				
	4.5 Access management				
CSI	*4.1 The seven–step improvement process*		+	++	

[a] Process areas and clauses where there is a correlation between ITIL and ISO/IEC 2000–1:2011 clauses are annotated [+]. Where a correlation is annotated [++}, a strong correlation is present.

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