



BSI Standards Publication

Information technology — Process assessment — Process reference model for service management

National foreword

This Published Document is the UK implementation of ISO/IEC TS 33054:2020.

The UK participation in its preparation was entrusted to Technical Committee IST/15, Software and systems engineering.

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

This publication does not purport to include all the necessary provisions of a contract. Users are responsible for its correct application.

© The British Standards Institution 2020

Published by BSI Standards Limited 2020

ISBN 978 0 539 05657 0

ICS 35.080

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 30 June 2020.

Amendments/corrigenda issued since publication

Date	Text affected
------	---------------

Information technology — Process assessment — Process reference model for service management

*Technologie de l'information — Évaluation des processus — Modèle
de référence de processus pour la gestion des services*



Reference number
ISO/IEC TS 33054:2020(E)

AVA Documents
Document Sharing Hub
© ISO/IEC 2020



COPYRIGHT PROTECTED DOCUMENT

© ISO/IEC 2020

All rights reserved. Unless otherwise specified, or required in the context of its implementation, no part of this publication may be reproduced or utilized otherwise in any form or by any means, electronic or mechanical, including photocopying, or posting on the internet or an intranet, without prior written permission. Permission can be requested from either ISO at the address below or ISO's member body in the country of the requester.

ISO copyright office
CP 401 • Ch. de Blandonnet 8
CH-1214 Vernier, Geneva
Phone: +41 22 749 01 11
Fax: +41 22 749 09 47
Email: copyright@iso.org
Website: www.iso.org

Published in Switzerland

Contents

Page

Foreword	iv
Introduction	v
1 Scope	1
2 Normative references	1
3 Terms and definitions	1
4 Overview of the process reference model	1
5 Process descriptions	3
5.1 General	3
5.2 COM.01 Communication management	4
5.3 COM.02 Documentation management	5
5.4 COM.03 Human resource management	6
5.5 COM.04 Improvement	6
5.6 COM.05 Internal audit	7
5.7 COM.06 Management review	7
5.8 COM.07 Non-conformity management	8
5.9 COM.08 Operational planning	8
5.10 COM.09 Operational implementation and control	9
5.11 COM.10 Performance evaluation	10
5.12 COM.11 Risk management	11
5.13 RAA.1 Business relationship management	11
5.14 RAA.2 Service level management	12
5.15 RAA.3 Service reporting	12
5.16 RAA.4 Supplier management	13
5.17 RAA.5 Service catalogue management	13
5.18 RAF.1 Incident management	14
5.19 RAF.2 Service request management	14
5.20 RAF.3 Problem management	15
5.21 SAD.1 Budgeting and accounting for services	15
5.22 SAD.2 Demand management	15
5.23 SAD.3 Capacity management	16
5.24 SAS.1 Service availability management	16
5.25 SAS.2 Service continuity management	17
5.26 SAS.3 Information security management	17
5.27 SDB.1 Service requirements definition	18
5.28 SDB.2 Service design	18
5.29 SDB.3 Service build and transition	18
5.30 SDB.4 Release and deployment management	19
5.31 SDE.1 Service delivery	19
5.32 SPC.1 Change management	20
5.33 SPC.2 Configuration management	20
5.34 TOP.01 Leadership	21
Annex A (informative) The relationship between management system requirements and a process reference model	22
Annex B (informative) Statement of conformity to ISO/IEC 33004	71
Bibliography	73

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 7, *Systems and Software Engineering*.

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 facilitates the development of a process assessment model (PAM) for service management described in ISO/IEC TS 33074.

A process reference model is a model comprising definitions of processes described in terms of process purpose and outcomes, together with an architecture describing the relationships between the processes. Using the process reference model in a practical application can require additional elements suited to the environment and circumstances.

The process reference model specified in this document describes the processes including the service management system (SMS) processes implied by ISO/IEC 20000-1. Each process of this process reference model provides traceability to requirements. The process reference model does not attempt to place the processes in any specific environment nor does it pre-determine any level of process capability required to fulfil the ISO/IEC 20000-1 requirements. The process reference model does not provide the evidence required to be conformant to the evidence requirements of ISO/IEC 20000-1. The process reference model is not intended to be used for a conformity assessment audit or as a process implementation reference guide.

ISO/IEC 33001 describes the concepts and terminology used for process assessment. ISO/IEC 33002 describes the requirements for conducting an assessment. ISO/IEC 33004 describes the requirements for process reference, process assessment and maturity models. ISO/IEC 33020 describes the measurement scale for assessing the process quality characteristic of process capability. ISO/IEC TR 24774 describes the common elements of processes.

The relationships between ISO/IEC 20000-1, ISO/IEC TR 24774, ISO/IEC 33002, ISO/IEC 33004, ISO/IEC 33020, this document and ISO/IEC TS 33074 are shown in [Figure 1](#).

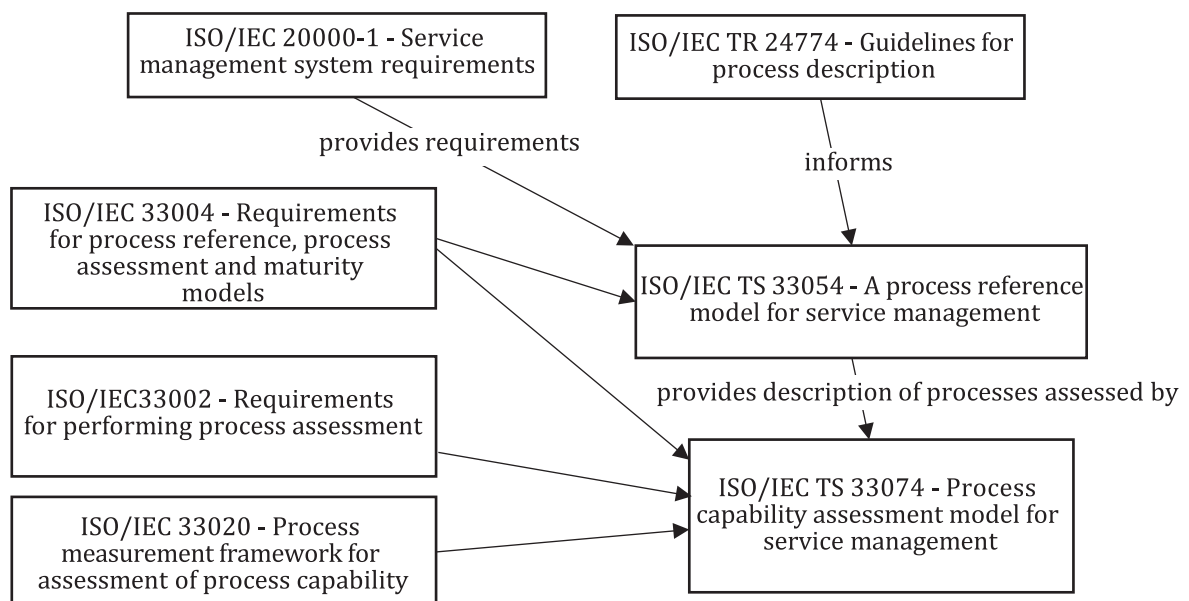


Figure 1 — Relationships between relevant standards

[Clause 4](#) provides an overview of the process reference model.

[Clause 5](#) describes the processes in the process reference model.

[Annex A](#) describes the relationship between management system requirements and process model elements.

[Annex B](#) provides the statement of conformity in accordance with ISO/IEC 33004.

This document replaces ISO/IEC TR 20000-4.

Information technology — Process assessment — Process reference model for service management

1 Scope

This document defines a process reference model for the domain of service management.

The model specifies a process architecture for the domain and comprises a set of processes. Each process is described in terms of process purpose and outcomes.

The process reference model in this document is directed at assessment sponsors and competent assessors who wish to select a model, and associated documented process method, for assessment (for either capability determination or process improvement).

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*

ISO/IEC 33001, *Information technology — Process assessment — Concepts and terminology*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO/IEC 33001 and ISO/IEC 20000-10 apply.

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

- ISO Online browsing platform: available at <https://www.iso.org/obp>
- IEC Electropedia: available at <http://www.electropedia.org/>

4 Overview of the process reference model

This clause describes the structure of a process reference model to support service management. The process reference model includes processes, which can already exist in the context of a service management system of a service provider.

[Figure 2](#) identifies the processes derived from ISO/IEC 20000-1 requirements.

Processes are grouped according to their primary purpose, namely, generic processes associated with the management system implementation, processes associated with technical aspects of service management, and organisational processes associated with management of service management activities.

NOTE The model shown in [Figure 2](#) covers all the requirements of ISO/IEC 20000-1 but the grouping is different.

The term "common processes" refers to those processes identified with the text within the management system sub-clauses that is common to all management system standards. The "leadership" process is also common to all management system standards.

Technical processes include those associated with the following groups:

- service delivery processes;
- service design, build and transition processes;
- resolution and fulfilment processes;
- service control processes;
- supply and demand processes;
- service assurance processes.

Organizational processes are those that include processes in the group "relationship and agreement processes".

[Table A.2](#) shows the detailed traceability from ISO/IEC 20000-1:2018 to the process reference model outcomes.

Users of this document may freely reproduce the detailed descriptions contained in this process reference model as part of any tool or other material to support the performance of process assessments, so that it can be used for its intended purpose.

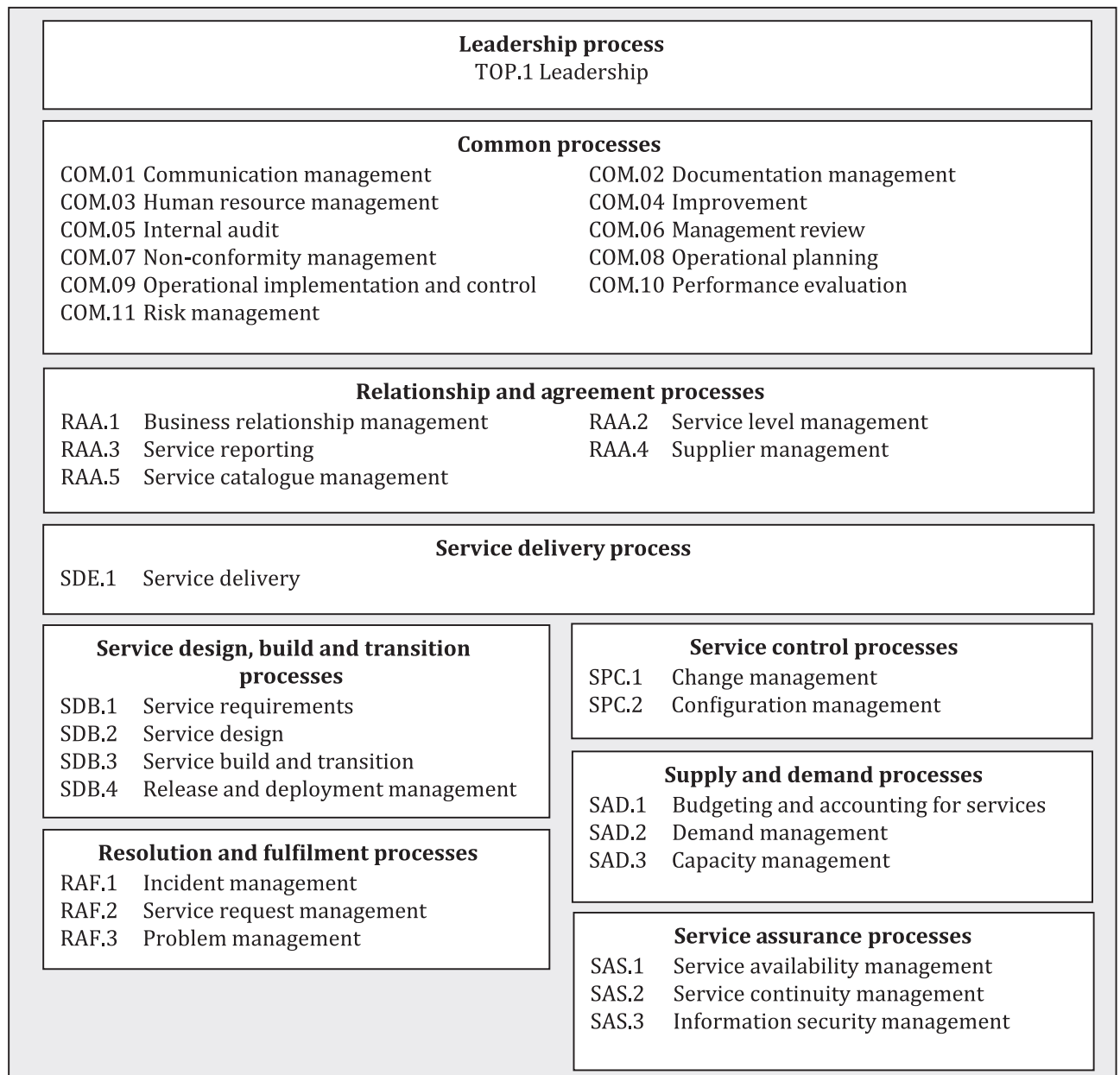


Figure 2 — Processes in the process reference model

5 Process descriptions

5.1 General

The process descriptions in this process reference model are defined following the guidance provided in ISO/IEC TR 24774.

Each process in the process reference model has the following descriptive elements:

- Process ID: Each process belonging to a group is identified with a process identifier consisting of the group abbreviated name and a sequential number of the process in that group.
- Name: the name of a process is a short phrase that summarizes the scope of the process, identifying the principal concern of the process, and distinguishes it from other processes within the scope of the process reference model.

- c) Purpose: the purpose of the process is a high level, overall goal for performing the process.
- d) Outcomes: an outcome is an observable result of the successful achievement of the process purpose. Outcomes are measurable, tangible, technical or business results that are achieved by a process. Outcomes are observable and assessable.
- e) Requirements traceability: the outcomes are based on the requirements of ISO/IEC 20000-1. The references identify the applicable subclauses of ISO/IEC 20000-1, the subclause heading, and the outcomes that are supported. (See [A.6](#)).
- f) Number of outcomes: the set of process outcomes are necessary and sufficient to achieve the purpose of the process.

In [5.2](#) to [5.34](#), all entries in the requirements traceability row end with numbers in square brackets, (i.e. [n]). Each number in the square brackets is a reference to a numbered outcome. These outcomes are directly linked to the requirements of ISO/IEC 20000-1.

Some outcomes are shown in square brackets. These are only indirectly linked to requirements of ISO/IEC 20000-1. The outcomes in square brackets are not referenced by any of the entries in the requirements traceability row. These additional outcomes have been included because they are considered necessary in order for this type of process reference model to serve as the basis of the PAM (ISO/IEC TS 33074). With these additional outcomes, the process is complete and the process purpose can be achieved.

5.2 COM.01 Communication management

Process ID	COM.01	
Name	Communication management	
Purpose	The purpose of communication management is to produce timely and accurate information products to support effective communication and decision making.	
Outcomes	As a result of successful implementation of this process: 1. Information content is defined in terms of identified communication requirements. 2. Parties to communicate with are identified. 3. The party responsible for the communication is identified. 4. Events that require communication actions are identified. 5. The channel for the communication is selected. 6. Information products are communicated to relevant interested parties.	
Requirements traceability	ISO/IEC 20000-1:2018, 5.2.2	Communicating the service management policy [6]
	ISO/IEC 20000-1:2018, 6.2.1	Establish objectives [6]
	ISO/IEC 20000-1:2018, 7.4	Communication [1,2,3,4,5]
	ISO/IEC 20000-1:2018, 8.5.1.3	Change management activities [6]
	ISO/IEC 20000-1:2018, 8.5.2.3	Build and transition [6]
	ISO/IEC 20000-1:2018, 8.6.1	Incident management [6]
	ISO/IEC 20000-1:2018, 8.7.3.1	Information security policy [6]
	ISO/IEC 20000-1:2018, 9.2.2	[6]
	ISO/IEC 20000-1:2018, 9.4	Service reporting [6]

5.3 COM.02 Documentation management

Process ID	COM.02																																																							
Name	Documentation management																																																							
Purpose	The purpose of documentation management is to provide relevant, timely, complete, valid documented information to designated parties.																																																							
Outcomes	As a result of successful implementation of this process: 1. Documented information to be documented is identified. 2. The forms of documented information representation are defined. [3. The documented information content status is known.] 4. Documented information is current, complete and valid. 5. Documented information is released according to defined criteria. 6. Documented information is available to relevant interested parties. 7. Documented information is archived, or disposed of, as required.																																																							
Requirements traceability	<table><tr><td>ISO/IEC 20000-1:2018, 4.3</td><td>Determining the scope of the service management system [4,6]</td></tr><tr><td>ISO/IEC 20000-1:2018, 5.2.2</td><td>Communicating the service management policy [1]</td></tr><tr><td>ISO/IEC 20000-1:2018, 6.1.2</td><td>[1]</td></tr><tr><td>ISO/IEC 20000-1:2018, 6.2.1</td><td>Establish objectives [1]</td></tr><tr><td>ISO/IEC 20000-1:2018, 7.2</td><td>Competence [1]</td></tr><tr><td>ISO/IEC 20000-1:2018, 7.5.2</td><td>Creating and updating documented information [1,2,4]</td></tr><tr><td>ISO/IEC 20000-1:2018, 7.5.3.1</td><td>[6]</td></tr><tr><td>ISO/IEC 20000-1:2018, 7.5.3.2</td><td>[1,4,6,7]</td></tr><tr><td>ISO/IEC 20000-1:2018, 7.5.4</td><td>Service management system documented information [1]</td></tr><tr><td>ISO/IEC 20000-1:2018, 7.6</td><td>Knowledge [1,4,6]</td></tr><tr><td>ISO/IEC 20000-1:2018, 8.1</td><td>Operational planning and control [1]</td></tr><tr><td>ISO/IEC 20000-1:2018, 8.2.2</td><td>Plan the services [1]</td></tr><tr><td>ISO/IEC 20000-1:2018, 8.2.3.1</td><td>[1]</td></tr><tr><td>ISO/IEC 20000-1:2018, 8.2.4</td><td>Service catalogue management [4,6]</td></tr><tr><td>ISO/IEC 20000-1:2018, 8.2.6</td><td>Configuration management [1,6]</td></tr><tr><td>ISO/IEC 20000-1:2018, 8.3.2</td><td>Business relationship management [1]</td></tr><tr><td>ISO/IEC 20000-1:2018, 8.3.3</td><td>Service level management [1]</td></tr><tr><td>ISO/IEC 20000-1:2018, 8.3.4.1</td><td>Management of external suppliers [1]</td></tr><tr><td>ISO/IEC 20000-1:2018, 8.3.4.2</td><td>Management of internal suppliers and customers acting as a supplier [1]</td></tr><tr><td>ISO/IEC 20000-1:2018, 8.4.3</td><td>Capacity management [1,4]</td></tr><tr><td>ISO/IEC 20000-1:2018, 8.5.1.1</td><td>Change management policy [1]</td></tr><tr><td>ISO/IEC 20000-1:2018, 8.5.1.3</td><td>Change management activities [1]</td></tr><tr><td>ISO/IEC 20000-1:2018, 8.5.2.2</td><td>Design [1]</td></tr><tr><td>ISO/IEC 20000-1:2018, 8.5.3</td><td>Release and deployment management [1,6]</td></tr><tr><td>ISO/IEC 20000-1:2018, 8.6.1</td><td>Incident management [4]</td></tr><tr><td>ISO/IEC 20000-1:2018, 8.6.2</td><td>Service request management [4,6]</td></tr><tr><td>ISO/IEC 20000-1:2018, 8.6.3</td><td>Problem management [4,6]</td></tr></table>		ISO/IEC 20000-1:2018, 4.3	Determining the scope of the service management system [4,6]	ISO/IEC 20000-1:2018, 5.2.2	Communicating the service management policy [1]	ISO/IEC 20000-1:2018, 6.1.2	[1]	ISO/IEC 20000-1:2018, 6.2.1	Establish objectives [1]	ISO/IEC 20000-1:2018, 7.2	Competence [1]	ISO/IEC 20000-1:2018, 7.5.2	Creating and updating documented information [1,2,4]	ISO/IEC 20000-1:2018, 7.5.3.1	[6]	ISO/IEC 20000-1:2018, 7.5.3.2	[1,4,6,7]	ISO/IEC 20000-1:2018, 7.5.4	Service management system documented information [1]	ISO/IEC 20000-1:2018, 7.6	Knowledge [1,4,6]	ISO/IEC 20000-1:2018, 8.1	Operational planning and control [1]	ISO/IEC 20000-1:2018, 8.2.2	Plan the services [1]	ISO/IEC 20000-1:2018, 8.2.3.1	[1]	ISO/IEC 20000-1:2018, 8.2.4	Service catalogue management [4,6]	ISO/IEC 20000-1:2018, 8.2.6	Configuration management [1,6]	ISO/IEC 20000-1:2018, 8.3.2	Business relationship management [1]	ISO/IEC 20000-1:2018, 8.3.3	Service level management [1]	ISO/IEC 20000-1:2018, 8.3.4.1	Management of external suppliers [1]	ISO/IEC 20000-1:2018, 8.3.4.2	Management of internal suppliers and customers acting as a supplier [1]	ISO/IEC 20000-1:2018, 8.4.3	Capacity management [1,4]	ISO/IEC 20000-1:2018, 8.5.1.1	Change management policy [1]	ISO/IEC 20000-1:2018, 8.5.1.3	Change management activities [1]	ISO/IEC 20000-1:2018, 8.5.2.2	Design [1]	ISO/IEC 20000-1:2018, 8.5.3	Release and deployment management [1,6]	ISO/IEC 20000-1:2018, 8.6.1	Incident management [4]	ISO/IEC 20000-1:2018, 8.6.2	Service request management [4,6]	ISO/IEC 20000-1:2018, 8.6.3	Problem management [4,6]
ISO/IEC 20000-1:2018, 4.3	Determining the scope of the service management system [4,6]																																																							
ISO/IEC 20000-1:2018, 5.2.2	Communicating the service management policy [1]																																																							
ISO/IEC 20000-1:2018, 6.1.2	[1]																																																							
ISO/IEC 20000-1:2018, 6.2.1	Establish objectives [1]																																																							
ISO/IEC 20000-1:2018, 7.2	Competence [1]																																																							
ISO/IEC 20000-1:2018, 7.5.2	Creating and updating documented information [1,2,4]																																																							
ISO/IEC 20000-1:2018, 7.5.3.1	[6]																																																							
ISO/IEC 20000-1:2018, 7.5.3.2	[1,4,6,7]																																																							
ISO/IEC 20000-1:2018, 7.5.4	Service management system documented information [1]																																																							
ISO/IEC 20000-1:2018, 7.6	Knowledge [1,4,6]																																																							
ISO/IEC 20000-1:2018, 8.1	Operational planning and control [1]																																																							
ISO/IEC 20000-1:2018, 8.2.2	Plan the services [1]																																																							
ISO/IEC 20000-1:2018, 8.2.3.1	[1]																																																							
ISO/IEC 20000-1:2018, 8.2.4	Service catalogue management [4,6]																																																							
ISO/IEC 20000-1:2018, 8.2.6	Configuration management [1,6]																																																							
ISO/IEC 20000-1:2018, 8.3.2	Business relationship management [1]																																																							
ISO/IEC 20000-1:2018, 8.3.3	Service level management [1]																																																							
ISO/IEC 20000-1:2018, 8.3.4.1	Management of external suppliers [1]																																																							
ISO/IEC 20000-1:2018, 8.3.4.2	Management of internal suppliers and customers acting as a supplier [1]																																																							
ISO/IEC 20000-1:2018, 8.4.3	Capacity management [1,4]																																																							
ISO/IEC 20000-1:2018, 8.5.1.1	Change management policy [1]																																																							
ISO/IEC 20000-1:2018, 8.5.1.3	Change management activities [1]																																																							
ISO/IEC 20000-1:2018, 8.5.2.2	Design [1]																																																							
ISO/IEC 20000-1:2018, 8.5.3	Release and deployment management [1,6]																																																							
ISO/IEC 20000-1:2018, 8.6.1	Incident management [4]																																																							
ISO/IEC 20000-1:2018, 8.6.2	Service request management [4,6]																																																							
ISO/IEC 20000-1:2018, 8.6.3	Problem management [4,6]																																																							

Process ID	COM.02	
	ISO/IEC 20000-1:2018, 8.7.1	Service availability management [1]
	ISO/IEC 20000-1:2018, 8.7.2	Service continuity management [1,6]
	ISO/IEC 20000-1:2018, 8.7.3.1	Information security policy [1,5]
	ISO/IEC 20000-1:2018, 8.7.3.2	Information security controls [1,5]
	ISO/IEC 20000-1:2018, 9.1	Monitoring, measurement, analysis and evaluation [1]
	ISO/IEC 20000-1:2018, 9.2.2	[1]
	ISO/IEC 20000-1:2018, 9.3	Management review [1]
	ISO/IEC 20000-1:2018, 10.1.2	[1]
	ISO/IEC 20000-1:2018, 10.2	Continual improvement [1]

5.4 COM.03 Human resource management

Process ID	COM.03	
Name	Human resource management	
Purpose	The purpose of human resource management is to provide the organization with necessary competent human resources and to improve their competencies, in alignment with business needs.	
Outcomes	As a result of successful implementation of this process: 1. The competencies required by the organization to produce products and services are identified. 2. Identified competency gaps are filled through training or recruitment. 3. Understanding of roles and activities in achieving organisational objectives in product and service provision is demonstrated by each person.	
Requirements traceability	ISO/IEC 20000-1:2018, 7.2	Competence [1,2]
	ISO/IEC 20000-1:2018, 7.3	Awareness [3]

5.5 COM.04 Improvement

Process ID	COM.04	
Name	Improvement	
Purpose	The purpose of improvement is to continually improve the management system, its processes, products and services.	
Outcomes	As a result of successful implementation of this process: 1. Opportunities for improvement are identified. 2. Opportunities for improvement are evaluated against defined criteria. 3. Improvements are prioritised. 4. Improvements are implemented. 5. The effectiveness of implemented improvements is evaluated.	
Requirements traceability	ISO/IEC 20000-1:2018, 8.3.2	Business relationship management [1]
	ISO/IEC 20000-1:2018, 8.3.3	Service level management [1]
	ISO/IEC 20000-1:2018, 8.3.4.1	Management of external suppliers [1]
	ISO/IEC 20000-1:2018, 8.3.4.2	Management of internal suppliers and customers acting as a supplier [1]
	ISO/IEC 20000-1:2018, 8.5.1.3	Change management activities [1]
	ISO/IEC 20000-1:2018, 8.5.3	Release and deployment management [1]

Process ID	COM.04	
	ISO/IEC 20000-1:2018, 8.6.1	Incident management [1]
	ISO/IEC 20000-1:2018, 8.7.3.3	Information security incidents [1]
	ISO/IEC 20000-1:2018, 10.2	Continual improvement [2,3,4,5]

5.6 COM.05 Internal audit

Process ID	COM.05	
Name	Internal audit	
Purpose	The purpose of internal audit is to independently determine conformity of the management system, products, services, and processes to the requirements, policies, plans and agreements, as appropriate.	
Outcomes	As a result of successful implementation of this process: 1. The scope and purpose of each audit is defined. 2. The objectivity and impartiality of the conduct of audits and selection of auditors are assured. 3. Conformity of selected services, products and processes with requirements, plans and agreements is determined.	
Requirements traceability	ISO/IEC 20000-1:2018, 9.2.1	[3]
	ISO/IEC 20000-1:2018, 9.2.2	[1,2]

5.7 COM.06 Management review

Process ID	COM.06	
Name	Management review	
Purpose	The purpose of management review is to assess the performance of the management system, to identify and make decisions regarding potential improvements.	
Outcomes	As a result of successful implementation of this process: 1. The objectives of the review are established. 2. The status and performance of an activity or process are assessed in terms of the established objectives. 3. Risks, problems and opportunities for improvement are identified.	
Requirements traceability	ISO/IEC 20000-1:2018, 5.3	Organizational roles, responsibilities and authorities [2]
	ISO/IEC 20000-1:2018, 9.3	Management review [1,2,3]

5.8 COM.07 Non-conformity management

Process ID	COM.07
Name	Non-conformity management
Purpose	The purpose of the non-conformity management process is to resolve non-conformities and to eliminate their causes when appropriate.
Outcomes	As a result of successful implementation of this process: 1. Non-conformities are identified. 2. Non-conformities are resolved and closed. 3. The cause(s) of selected non-conformities is determined. 4. The need for action to eliminate the causes of non-conformities is evaluated. 5. A selected action proposal is implemented. 6. The effectiveness of changes to eliminate the non-conformities is confirmed.
Requirements traceability	ISO/IEC 20000-1:2018, 10.1.1 [1,2,3,4,5,6]

5.9 COM.08 Operational planning

Process ID	COM.08
Name	Operational planning
Purpose	The purpose of operational planning is to define the characteristics of all operational and organizational processes, and to plan their execution.
Outcomes	As a result of successful implementation of this process: 1. Process requirements are identified. [2. Process input and output products are determined.] 3. The set of activities that transform the inputs into outputs is determined. 4. The sequence and interaction of the process with other processes is determined. 5. The required competencies and roles for performing the process are identified. 6. The required resources for performing the process are identified. 7. Methods for monitoring the effectiveness and suitability of the process are determined. 8. Plans for the deployment of the process are developed.
Requirements traceability	ISO/IEC 20000-1:2018, 5.1 Leadership and commitment [4,5,6] ISO/IEC 20000-1:2018, 6.1.2 [1] ISO/IEC 20000-1:2018, 6.1.3 [4,8] ISO/IEC 20000-1:2018, 6.2.2 Plan to achieve objectives [1,4,6,7] ISO/IEC 20000-1:2018, 6.3 Plan the service management system [5,6,7,8] ISO/IEC 20000-1:2018, 7.1 Resources [6] ISO/IEC 20000-1:2018, 8.1 Operational planning and control [7] ISO/IEC 20000-1:2018, 8.2.6 Configuration management [8] ISO/IEC 20000-1:2018, 8.3.2 Business relationship management [8] ISO/IEC 20000-1:2018, 8.3.3 Service level management [8] ISO/IEC 20000-1:2018, 8.3.4.1 Management of external suppliers [8]

Process ID	COM.08	
	ISO/IEC 20000-1:2018, 8.3.4.2	Management of internal suppliers and customers acting as a supplier [8]
	ISO/IEC 20000-1:2018, 8.4.1	Budgeting and accounting for services [8]
	ISO/IEC 20000-1:2018, 8.4.2	Demand management [8]
	ISO/IEC 20000-1:2018, 8.5.1.2	Change management initiation [1]
	ISO/IEC 20000-1:2018, 8.5.1.3	Change management activities [8]
	ISO/IEC 20000-1:2018, 8.5.2.1	Plan new or changed services [8]
	ISO/IEC 20000-1:2018, 8.5.2.3	Build and transition [1]
	ISO/IEC 20000-1:2018, 8.5.3	Release and deployment management [8]
	ISO/IEC 20000-1:2018, 8.6.3	Problem management [1,3,7,8]
	ISO/IEC 20000-1:2018, 8.7.1	Service availability management [8]
	ISO/IEC 20000-1:2018, 8.7.2	Service continuity management [8]
	ISO/IEC 20000-1:2018, 8.7.3.2	Information security controls [8]
	ISO/IEC 20000-1:2018, 9.1	Monitoring, measurement, analysis and evaluation [1]
	ISO/IEC 20000-1:2018, 9.2.1	[8]
	ISO/IEC 20000-1:2018, 9.2.2	[8]
	ISO/IEC 20000-1:2018, 9.3	Management review [8]
	ISO/IEC 20000-1:2018, 10.2	Continual improvement [1,7]

5.10 COM.09 Operational implementation and control

Process ID	COM.09	
Name	Operational implementation and control	
Purpose	The purpose of operational implementation and control is to deploy and control the execution and performance of operational and organizational processes.	
Outcomes	As a result of successful implementation of this process: 1. The required roles, responsibilities and authorities are allocated. 2. The required resources are allocated and applied. 3. Actions required to achieve the management system objectives are implemented. 4. Suitability and effectiveness of the actions taken to achieve the management system objectives are reviewed. 5. Deviations from planned arrangements are corrected when targets are not achieved. 6. Data is collected and analysed as a basis for understanding the behaviour of, and to demonstrate the suitability and effectiveness of the processes.	
Requirements traceability	ISO/IEC 20000-1:2018, 5.1	Leadership and commitment [1]
	ISO/IEC 20000-1:2018, 5.3	Organizational roles, responsibilities and authorities [1]
	ISO/IEC 20000-1:2018, 6.1.1	[3]
	ISO/IEC 20000-1:2018, 6.2.2	Plan to achieve objectives [1]
	ISO/IEC 20000-1:2018, 7.1	Resources [2]
	ISO/IEC 20000-1:2018, 8.1	Operational planning and control [3,5]
	ISO/IEC 20000-1:2018, 8.2.1	Service Delivery [3]
	ISO/IEC 20000-1:2018, 8.3.2	Business relationship management [1,5]
	ISO/IEC 20000-1:2018, 8.3.4.1	Management of external suppliers [1]
	ISO/IEC 20000-1:2018, 8.5.1.3	Change management activities [4,5]

Process ID	COM.09	
	ISO/IEC 20000-1:2018, 8.5.3	Release and deployment management [4]
	ISO/IEC 20000-1:2018, 8.6.1	Incident management [1,3,4]
	ISO/IEC 20000-1:2018, 8.6.3	Problem management [4]
	ISO/IEC 20000-1:2018, 9.3	Management review [6]
	ISO/IEC 20000-1:2018, 9.4	Service reporting [5]
	ISO/IEC 20000-1:2018, 10.2	Continual improvement [3]

5.11 COM.10 Performance evaluation

Process ID	COM.10	
Name	Performance evaluation	
Purpose	The purpose of performance evaluation is to collect and analyse data that will be used to evaluate the performance of the management system and the business processes in terms of the defined objectives.	
Outcomes	As a result of successful implementation of this process: 1. Performance monitoring and measurement needs are defined. 2. Performance measures, derived from the performance measurement needs, are identified. 3. Performance measurement methods, supportive of the performance measures, are identified. 4. Data is collected using the identified performance measurement methods. 5. The collected performance data is analysed.	
Requirements traceability	ISO/IEC 20000-1:2018, 6.1.3 [5] ISO/IEC 20000-1:2018, 6.2.1 Establish objectives [4] ISO/IEC 20000-1:2018, 8.2.3.2 [3] ISO/IEC 20000-1:2018, 8.3.2 Business relationship management [4,5] ISO/IEC 20000-1:2018, 8.5.1.3 Change management activities [5] ISO/IEC 20000-1:2018, 8.5.3 Release and deployment management [1,5] ISO/IEC 20000-1:2018, 8.7.3.3 Information security incidents [5] ISO/IEC 20000-1:2018, 9.1 Monitoring, measurement, analysis and evaluation [2,3,5]	

5.12 COM.11 Risk management

Process ID	COM.11	
Name	Risk management	
Purpose	The purpose of risk management is to identify, analyse, evaluate, treat and monitor risks.	
Outcomes	As a result of successful implementation of this process: 1. Criteria for the assessment of risks and the acceptable level of risk are identified. 2. Risks are identified. [3. Identified risks are analysed.] 4. Risks are evaluated against defined criteria. [5. Risks are selected for treatment.] 6. Selected risks are treated.	
Requirements traceability	ISO/IEC 20000-1:2018, 6.1.2	[1,2,4]
	ISO/IEC 20000-1:2018, 6.1.3	[6]
	ISO/IEC 20000-1:2018, 8.3.4.1	Management of external suppliers [2]
	ISO/IEC 20000-1:2018, 8.7.1	Service availability management [2]
	ISO/IEC 20000-1:2018, 8.7.2	Service continuity management [2]
	ISO/IEC 20000-1:2018, 8.7.3.2	Information security controls [2]

5.13 RAA.1 Business relationship management

Process ID	RAA.1	
Name	Business relationship management	
Purpose	The purpose of business relationship management is to identify and manage customer needs and expectations, and to manage customer satisfaction.	
Outcomes	As a result of successful implementation of this process: 1. Needs and expectations of customers, users and other interested parties are identified. 2. Customer satisfaction is measured. 3. Service complaints are managed through their lifecycle to closure. 4. Service performance trends and outcomes are reviewed.	
Requirements traceability	ISO/IEC 20000-1:2018, 4.2	Understanding the needs and expectations of interested parties [1]
	ISO/IEC 20000-1:2018, 8.3.2	Business relationship management [1,2,3,4]

5.14 RAA.2 Service level management

Process ID	RAA.2
Name	Service level management
Purpose	The purpose of service level management is to ensure that agreed service level targets for each customer are met.
Outcomes	As a result of successful implementation of this process: 1. Service level targets, workload characteristics and exceptions for services are defined in service level agreements. 2. Service performance is monitored against service level agreements.
Requirements traceability	ISO/IEC 20000-1:2018, 8.3.3 Service level management [1,2]

5.15 RAA.3 Service reporting

Process ID	RAA.3
Name	Service reporting
Purpose	The purpose of service reporting is to produce timely and accurate service reports to support effective communication and to make informed decisions.
Outcomes	As a result of successful implementation of this process: 1. The service reporting needs are identified. 2. Service report content is defined to support identified service reporting needs and requirements. 3. Service reports are produced according to the service report requirements.
Requirements traceability	ISO/IEC 20000-1:2018, 5.3 Organizational roles, responsibilities and authorities [3] ISO/IEC 20000-1:2018, 8.3.3 Service level management [3] ISO/IEC 20000-1:2018, 8.4.1 Budgeting and accounting for services [3] ISO/IEC 20000-1:2018, 8.4.2 Demand management [3] ISO/IEC 20000-1:2018, 8.6.3 Problem management [3] ISO/IEC 20000-1:2018, 8.7.2 Service continuity management [3] ISO/IEC 20000-1:2018, 8.7.3.3 Information security incidents [3] ISO/IEC 20000-1:2018, 9.4 Service reporting [1,2] ISO/IEC 20000-1:2018, 10.2 Continual improvement [3]

5.16 RAA.4 Supplier management

Process ID	RAA.4	
Name	Supplier management	
Purpose	The purpose of supplier management is to ensure supplier products/services/systems are selected, managed and integrated into the delivered services to meet the agreed requirements	
Outcomes	As a result of successful implementation of this process: 1. Criteria are identified for the selection of suppliers. 2. Services to be provided are defined and negotiated with each supplier. 3. Roles and relationships between suppliers are determined. 4. Supplier obligations to meet requirements are monitored. 5. Supplier performance against agreed criteria is monitored and managed.	
Requirements traceability	ISO/IEC 20000-1:2018, 8.1	Operational planning and control [4]
	ISO/IEC 20000-1:2018, 8.2.3.1	[1,2]
	ISO/IEC 20000-1:2018, 8.3.4.1	Management of external suppliers [2,3,4,5]
	ISO/IEC 20000-1:2018, 8.3.4.2	Management of internal suppliers and customers acting as a supplier [2,5]

5.17 RAA.5 Service catalogue management

Process ID	RAA.5	
Name	Service catalogue management	
Purpose	The purpose of service catalogue management is to create and maintain one or more service catalogues that includes the information required by the organization, customers, users and other interested parties to describe the services, the dependencies and the intended outcomes of the services.	
Outcomes	As a result of successful implementation of this process: 1. Service catalogue content is defined. 2. Service catalogue content is developed.	
Requirements traceability	ISO/IEC 20000-1:2018, 8.2.4	Service catalogue management [1,2]

5.18 RAF.1 Incident management

Process ID	RAF.1	
Name	Incident management	
Purpose	The purpose of incident management is to restore the service as soon as possible and within agreed service level targets in order to minimize the impact on business operations.	
Outcomes	As a result of successful implementation of this process: 1. Incidents are recorded and classified. 2. Criteria are identified for major incidents. 3. Incidents are prioritized. 4. Incidents are escalated, where needed. 5. Incidents are resolved. 6. Incidents are closed.	
Requirements traceability	ISO/IEC 20000-1:2018, 8.6.1	Incident management [1,2,3,4,5,6]

5.19 RAF.2 Service request management

Process ID	RAF.2	
Name	Service request management	
Purpose	The purpose of service request management is to fulfil service requests within agreed service level targets.	
Outcomes	As a result of successful implementation of this process: 1. Service requests are recorded and classified. 2. Service requests are prioritized. 3. Service requests are fulfilled. 4. Service requests are closed.	
Requirements traceability	ISO/IEC 20000-1:2018, 8.6.2	Service request management [1,2,3,4]

5.20 RAF.3 Problem management

Process ID	RAF.3
Name	Problem management
Purpose	The purpose of problem management is to minimise service disruption by eliminating recurring incidents and minimizing the impact of incidents that cannot be prevented.
Outcomes	As a result of successful implementation of this process: 1. Known errors are recorded. 2. Problems are recorded and classified. 3. Problems are prioritized. 4. Problems are escalated, if needed. 5. Problems are resolved, if possible. 6. The impacts of problems are minimized, where possible. 7. Problems are closed.
Requirements traceability	ISO/IEC 20000-1:2018, 8.6.3 Problem management [1,2,3,4,5,6,7]

5.21 SAD.1 Budgeting and accounting for services

Process ID	SAD.1
Name	Budgeting and accounting for services
Purpose	The purpose of budgeting and accounting for services is to perform activities of budgeting and accounting to ensure visibility and control of financial resources for service provision.
Outcomes	As a result of successful implementation of this process: 1. Budgets are produced using cost estimates. 2. Costs are monitored against budget.
Requirements traceability	ISO/IEC 20000-1:2018, 8.4.1 Budgeting and accounting for services [1,2]

5.22 SAD.2 Demand management

Process ID	SAD.2
Name	Demand management
Purpose	The purpose of demand management is to determine current and future customer demand for services so that the organization can align and adjust capacity as needed.
Outcomes	As a result of successful implementation of this process: 1. Current demand and consumption of services is identified. 2. Future demand for services is forecast. 3. Demand and consumption of services is monitored.
Requirements traceability	ISO/IEC 20000-1:2018, 8.4.2 Demand management [1,2,3]

5.23 SAD.3 Capacity management

Process ID	SAD.3
Name	Capacity management
Purpose	The purpose of capacity management is to ensure that the organization has capacity to meet current and future demands for services and performance requirements.
Outcomes	As a result of successful implementation of this process: 1. Capacity requirements for human, technical, information and financial resources is determined. 2. Current and future capacity is planned to meet the demand. 3. Sufficient capacity is provided to meet capacity and performance requirements. 4. Capacity usage is monitored and analysed.
Requirements traceability	ISO/IEC 20000-1:2018, 8.4.3 Capacity management [1,2,3,4]

5.24 SAS.1 Service availability management

Process ID	SAS.1
Name	Service availability management
Purpose	The purpose of service availability management is to ensure that agreed service availability requirements and targets, based on business requirements, service requirements, service levels and identified risks, will be met.
Outcomes	As a result of successful implementation of this process: 1. Service availability requirements and targets are identified. 2. Service availability is monitored and recorded. 3. Causes of unplanned service non-availability are identified and analysed, and necessary actions taken.
Requirements traceability	ISO/IEC 20000-1:2018, 8.7.1 Service availability management [1,2,3]

5.25 SAS.2 Service continuity management

Process ID	SAS.2
Name	Service continuity management
Purpose	The purpose of service continuity management is to ensure that agreed service continuity requirements can be met within agreed targets and disrupted services can be resumed.
Outcomes	As a result of successful implementation of this process: 1. Service continuity requirements are identified. 2. Service continuity is planned to meet the service continuity requirements. 3. Service continuity plans are tested against service continuity requirements. 4. Service continuity is evaluated against the service continuity requirements. 5. Any identified deficiencies in the service continuity planning are addressed.
Requirements traceability	ISO/IEC 20000-1:2018, 8.7.2 Service continuity management [1,2,3,4,5]

5.26 SAS.3 Information security management

Process ID	SAS.3
Name	Information security management
Purpose	The purpose of information security management is to protect the confidentiality, integrity and availability of information relevant to the services at an agreed level within all service management activities.
Outcomes	As a result of successful implementation of this process: 1. Information security requirements are identified. 2. Criteria for the assessment of information security risks and the acceptable level of risk are identified. 3. Information security controls are defined. 4. Information security controls are implemented. 5. Security incidents are identified, resolved and closed. 6. Information security controls address identified information security risks. 7. The effectiveness of controls is monitored, reviewed and revised.
Requirements traceability	ISO/IEC 20000-1:2018, 6.1.2 [2] ISO/IEC 20000-1:2018, 8.7.3.1 Information security policy [1] ISO/IEC 20000-1:2018, 8.7.3.2 Information security controls [3,4,6,7] ISO/IEC 20000-1:2018, 8.7.3.3 Information security incidents [5]