PD ISO/IEC TS 33074:2020

BSI Standards Publication

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

Documents
Document Sharing Hub

Full document details: PD ISO/IEC TS 33074:2020

National foreword

This Published Document is the UK implementation of ISO/IEC TS 33074:2020.

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 05658 7

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

Documents
Document Sharing Hub

Full document details: PD ISO/IEC TS 33074:2020

TECHNICAL SPECIFICATION

ISO/IEC TS 33074

First edition
2020-05

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

Technologies de l'information — Evaluation des processus — Modèle d'évaluation de la capabilité d'un processus pour le management des services

Reference number
ISO/IEC TS 33074:2020(E)

Documents
Document Sharing Hub
© ISO/IEC 2020

Full document details: PD ISO/IEC TS 33074:2020

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

© ISO/IEC 2020 – All rights reserved

Documents
Document Sharing Hub

Full document details: PD ISO/IEC TS 33074:2020

Contents

Page

Foreword ..... **v**

Introduction ..... **vi**

1 Scope **1**

2 Normative references **1**

3 Terms and definitions **1**

4 Overview of the process assessment model **2**
4.1 General 2
4.2 Structure of the process assessment model 3
4.2.1 General 3
4.2.2 Processes 3
4.2.3 Process dimension 4
4.2.4 Capability dimension 4
4.3 Assessment indicators 6
4.3.1 General 6
4.3.2 Process capability indicators 7
4.3.3 Process performance indicators 9
4.4 Measuring process capability 9

5 The process dimension and process performance indicators (level 1) **11**
5.1 General 11
5.2 COM.01 Communication management 12
5.3 COM.02 Documentation management 14
5.4 COM.03 Human resource management 20
5.5 COM.04 Improvement 21
5.6 COM.05 Internal audit 23
5.7 COM.06 Management review 24
5.8 COM.07 Non-conformity management 25
5.9 COM.08 Operational planning 27
5.10 COM.09 Operational implementation and control 34
5.11 COM.10 Performance evaluation 36
5.12 COM.11 Risk management 38
5.13 RAA.1 Business relationship management 40
5.14 RAA.2 Service level management 40
5.15 RAA.3 Service reporting 41
5.16 RAA.4 Supplier management 43
5.17 RAA.5 Service catalogue management 45
5.18 RAF.1 Incident management 45
5.19 RAF.2 Service request management 46
5.20 RAF.3 Problem management 47
5.21 SAD.1 Budgeting and accounting for services 48
5.22 SAD.2 Demand management 49
5.23 SAD.3 Capacity management 50
5.24 SAS.1 Service availability management 51
5.25 SAS.2 Service continuity management 51
5.26 SAS.3 Information security management 53
5.27 SDB.1 Service requirements definition 54
5.28 SDB.2 Service design 54
5.29 SDB.3 Service build and transition 55
5.30 SDB.4 Release and deployment management 56
5.31 SDE.1 Service delivery 57
5.32 SPC.1 Change management 58
5.33 SPC.2 Configuration management 60
5.34 TOP.01 Leadership 62

© ISO/IEC 2020 – All rights reserved

AVA Documents
Document Sharing Hub

Full document details: PD ISO/IEC TS 33074:2020

6 Process capability indicators **66**
6.1 Introduction 66
6.2 Process capability levels and process attributes 66
6.2.1 General 66
6.2.2 Process capability Level 0: Incomplete process 66
6.2.3 Process capability Level 1: Performed process 67
6.2.4 Process capability Level 2: Managed process 67
6.2.5 Process capability Level 3: Established process 72
6.2.6 Process capability Level 4: Predictable process 76
6.2.7 Process capability Level 5: Innovating process 80
6.3 Related processes for process attributes 84
Annex A (informative) **Conformity of the process assessment model** **86**
Annex B (informative) **Input and output characteristics** **92**
Annex C (informative) **Mapping between base practices and ISO/IEC 20000-1 requirements** **142**
Bibliography **273**

© ISO/IEC 2020 – All rights reserved
Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

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, *Software and systems engineering*.

This first edition cancels and replaces ISO/IEC TS 15504-8:2012, which has been technically revised.

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

— all processes and their base practices are changed to reflect the ISO/IEC TS 33054 processes;

— all process related information products and their descriptions are revised;

— this process assessment model includes a process quality attribute of process performance and can be used with other models of process quality, for instance capability as described in ISO/IEC 33020.

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.

© ISO/IEC 2020 – All rights reserved

Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

Introduction

This document provides a service management process assessment model for use in performing a conformity assessment of process capability in accordance with the requirements of ISO/IEC 33002. It is structured in accordance with the requirements of ISO/IEC 33004 to reflect processes associated with ISO/IEC 20000-1. The scale for assessing the extent of achievement of process capability is based on ISO/IEC 33020.

This document provides a framework of reference for the capability assessment of processes that support the domain of service management.

An integral part of conducting an assessment is to use a process assessment model that is constructed for that purpose. A process assessment model is related to a process reference model and is conformant with ISO/IEC 33004. ISO/IEC 33002 identifies the minimum requirements for performing an assessment in order to ensure consistency and repeatability of the ratings. ISO/IEC 33002 addresses the assessment of process and the application of process assessment for improvement and capability determination. Results of conformant process assessments may be compared when the scopes of the assessments are considered to be similar.

The requirements for process assessment defined in ISO/IEC 33002 form a structure which:

a) facilitates self-assessment;

b) provides a basis for use in process improvement and capability determination;

c) takes into account the context in which the assessed process is implemented;

d) produces a process rating;

e) addresses the ability of the process to achieve its purpose;

f) is applicable across all application domains and sizes of organization;

g) may provide an objective benchmark between organizations.

The relationship between ISO/IEC TR 24774, ISO/IEC 20000-1, ISO/IEC 33002, ISO/IEC 33004, ISO/IEC 33020, ISO/IEC TS 33054, and this document is shown in Figure 1.

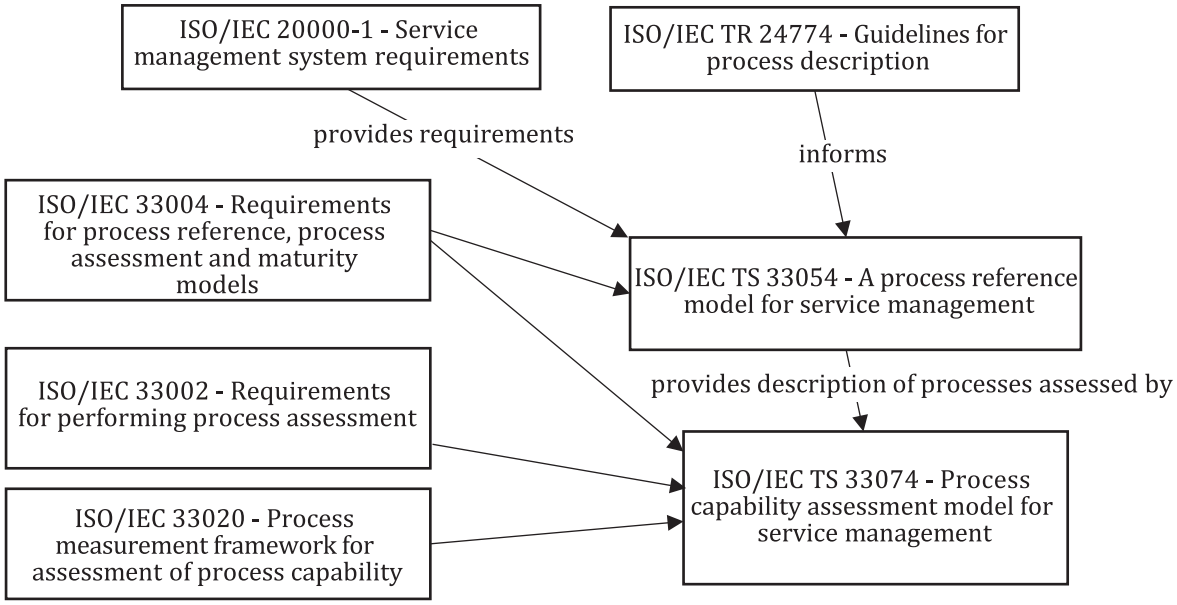

Figure 1 — Relationships between relevant standards

© ISO/IEC 2020 – All rights reserved
Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

Any organization may use processes with additional elements in order to suit it to the environment and circumstances. This process assessment model contains a set of indicators to be considered when interpreting the intent of its process reference model. It provides greater detail to indicate process performance and capability. The indicators may also be used when implementing a process improvement program or to help evaluate and select an assessment model, method, methodology or tools.

This process assessment model embodies the core characteristics that could be expected of any process assessment model consistent with ISO/IEC 33004. Nevertheless, any other process assessment models meeting the requirements of ISO/IEC 33004 may be used in a conformity assessment.

This document has a similar structure to ISO/IEC TS 33072 and ISO/IEC TS 33073. It may be used in conjunction with these process assessment models to support joint assessment of service management processes, information security management, and quality management processes

Within this document:

— Clause 4 provides a detailed description of the structure and key components of a process assessment model, which includes two dimensions: a process dimension and a capability dimension. Assessment indicators are introduced in this clause.

— Clause 5 addresses the process dimension. The processes are described in the process assessment model in terms of purpose and outcomes. The process assessment model includes a set of process performance indicators called base practices for each process. The process assessment model also defines a second set of indicators of process performance by associating inputs and outputs with each process. Clause 5 is also linked directly to Annex B, which defines the inputs/outputs characteristics.

— Clause 6 addresses the capability dimension. It duplicates the definitions of the capability levels and process attributes from ISO/IEC 33020, and expands each of the nine attributes through the inclusion of a set of generic practices. These generic practices belong to a set of indicators of process capability, in association with generic resource indicators, and generic inputs/outputs indicators. Annex B is also linked directly to Clause 6 as it defines the inputs/outputs characteristics.

— Annex A provides a statement of conformance of the process assessment model to the requirements defined in ISO/IEC 33004.

— Annex B provides selected characteristics for typical inputs/outputs to assist the assessor in evaluating the capability level of processes.

— Annex C contains three tables. Table C.1 identifies the base practices linked to requirements; Table C.2 identifies the requirements linked to base practices; and lastly, Table C.3 identifies the base practices not linked to requirements.

© ISO/IEC 2020 – All rights reserved

Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

Documents
Document Sharing Hub

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

1 Scope

This document:

— defines a process assessment model that relies on the process reference model published as ISO/IEC TS 33054 that meets the requirements of ISO/IEC 33004 and that supports the performance of an assessment by providing indicators for guidance on the interpretation of the process purposes and outcomes and the process attributes as defined in ISO/IEC 33020;

— provides guidance, by example, on the definition, selection and use of assessment indicators.

A process assessment model comprises a set of indicators of process performance and process capability. The indicators are used as a basis for collecting the objective evidence that enables an assessor to assign ratings. The set of indicators included in this document is not intended to be an all-inclusive set.

The process assessment 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). Additionally, it can be of use to developers of assessment models in the construction of their own model, by providing examples of good service management practices. It can be used by:

a) service providers to assess and improve a service management system (SMS);

b) service providers to demonstrate their capability for the planning, design, development, transition and delivery of services that meet agreed service management requirements.

Any process assessment model meeting the requirements defined in ISO/IEC 33004 concerning models for process assessment can be used for assessment. Different models and methods can be needed to address differing business needs. The assessment model in ISO/IEC TS 33074 is provided as an assessment model meeting all the requirements expressed in ISO/IEC 33004.

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*

ISO/IEC TS 33054, *Information technology — Process Assessment — Process reference model for service management*

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

© ISO/IEC 2020 – All rights reserved

Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

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

4 Overview of the process assessment model

4.1 General

ISO/IEC TS 33074 provides a process assessment model that includes examples of assessment indicators.

The process reference model defined in this document, associated with the process attributes defined in ISO/IEC 33020, establish a process assessment model used as a common basis for performing assessments of service management system process capability, allowing for the reporting of results using a common rating scale. The process reference model shall be in accordance with ISO/IEC TS 33054.

This process assessment model is a two-dimensional model of the process quality characteristic of process capability. In one dimension, the process dimension, the processes are defined. In the other dimension, the capability dimension, a set of process attributes grouped into capability levels is defined. The process attributes provide the measurable features of the process quality characteristic of process capability.

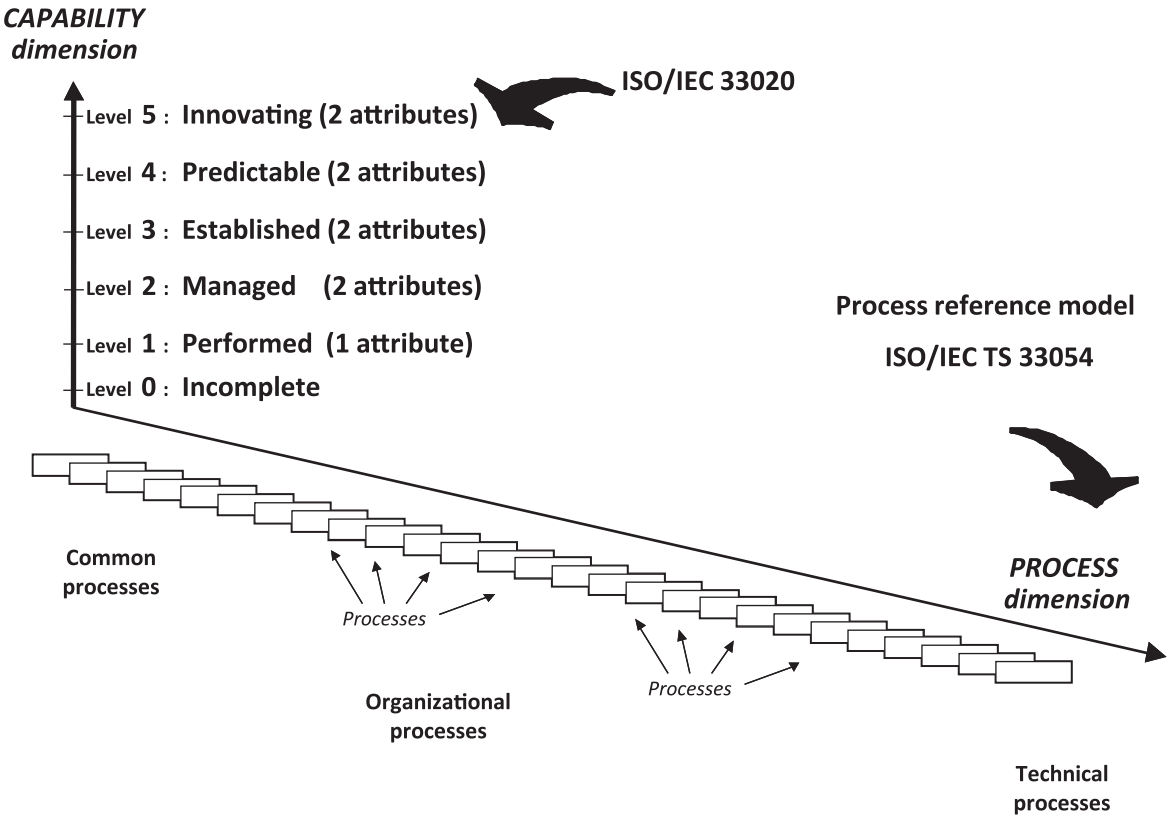

Figure 2 — Relationship between the process assessment model and its inputs

Figure 2 shows the relationship between the general structure of the process assessment model and ISO/IEC 33020.

A process reference model conformant with the requirements defined in ISO/IEC 33004 and a capability dimension defined in ISO/IEC 33020 cannot be used alone as the basis for conducting reliable and consistent assessments of process capability since the level of detail provided is not sufficient. The descriptions of process purpose and outcomes in a process reference model, and the process attribute definitions in ISO/IEC 33020, need to be supported with a comprehensive set of indicators of process performance and process capability that are used for assessment performance.

© ISO/IEC 2020 – All rights reserved
Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

The process assessment model defined in this document is conformant with the ISO/IEC 33004 requirements for a process assessment model, and can be used as the basis for conducting an assessment of service management process capability.

In order to meet the process assessment model requirements of ISO/IEC 33004, a documented process supporting other requirements of ISO/IEC 33002 is also required. This need may be met, for example, by the adoption of a supporting method for conducting assessments.

Users of this document may freely reproduce the detailed descriptions contained in the assessment 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.

4.2 Structure of the process assessment model

4.2.1 General

This subclause describes the detailed structure of the process assessment model and its key components.

This process assessment model expands upon the process reference model by including a defined set of assessment indicators. Assessment indicators comprise indicators of process performance and process capability and are defined to support an assessor's judgment of the performance and capability of an implemented process.

Clause 5, together with the associated Annex B, describes the components of the process dimension, and Clause 6 describes the components of the capability dimension. Annex A provides a statement of conformance of the process assessment model to the requirements defined in ISO/IEC 33004.

Refer to ISO/IEC 33004 for the requirements for processes included in a process reference model.

4.2.2 Processes

Figure 3 shows the processes included in the process dimension of the process assessment model for service management.

© ISO/IEC 2020 – All rights reserved

Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

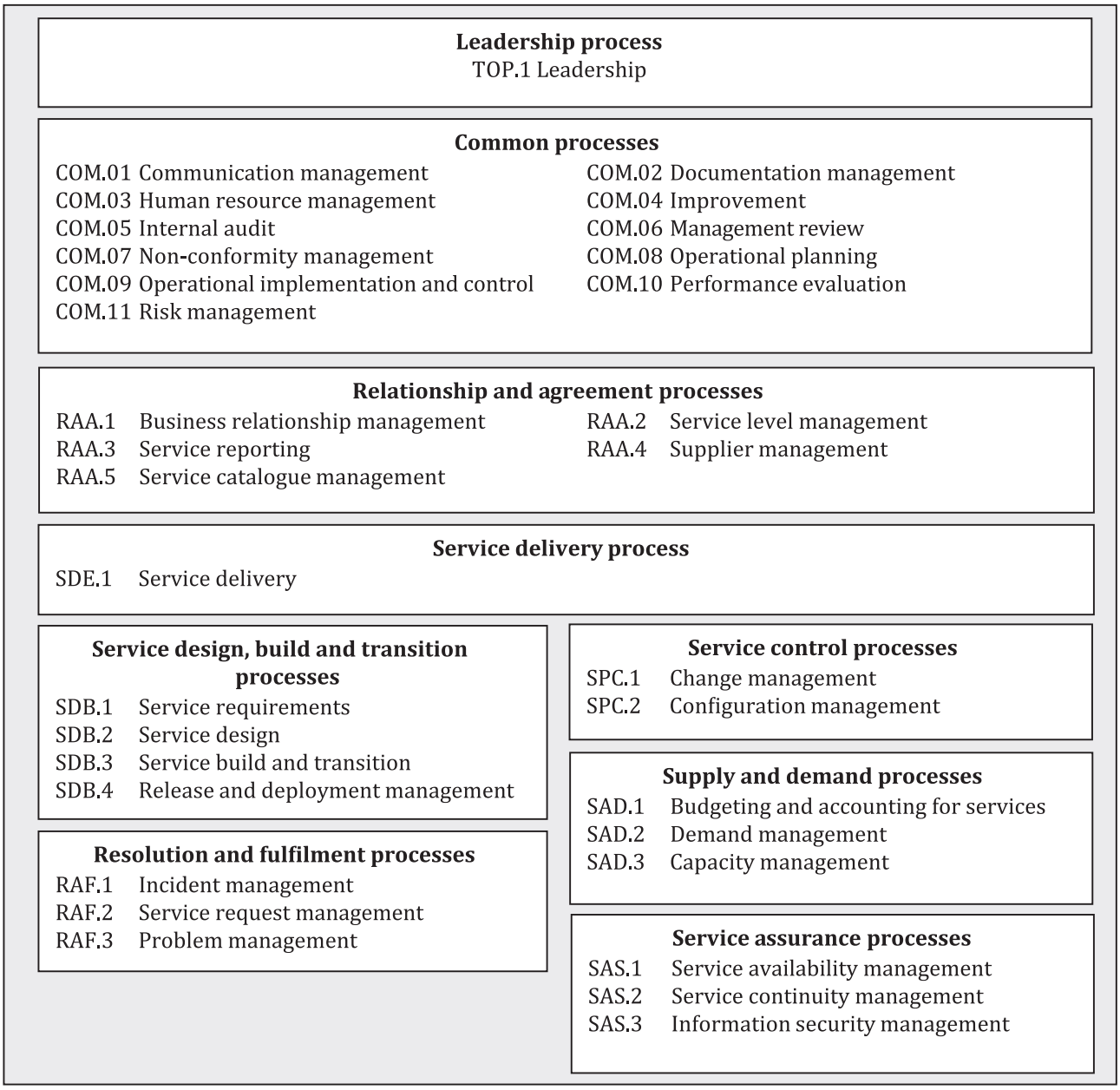

Figure 3 — Processes in the process assessment model

4.2.3 Process dimension

The process dimension of the process assessment model includes all processes and shown in Figure 3. Each process in the process assessment model is described in terms of a purpose statement. These statements contain the unique functional objectives of the process when performed in a particular environment. A list of specific outcomes is associated with each of the process purpose statements, as a list of expected positive results of the performance of the processes.

Satisfying the purpose statements of a process represents the first step in building a level 1 process capability where the expected outcomes are observable. The processes are described in Clause 5.

4.2.4 Capability dimension

For the capability dimension, the process capability levels and process attributes are identical to those defined in ISO/IEC 33020.

© ISO/IEC 2020 – All rights reserved
Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

Evolving process capability is expressed in the process assessment model in terms of process attributes grouped into capability levels. Process attributes are features of a process that can be evaluated on a scale of achievement, providing a measure of the capability of the process. They are applicable to all processes. Each process attribute describes a facet of the overall capability of managing and improving the effectiveness of a process in achieving its purpose and contributing to the business goals of the organization.

A capability level is a set of process attribute(s) that work together to provide a major enhancement in the capability to perform a process. The levels constitute a rational way of progressing through improvement of the capability of any process and are defined in ISO/IEC 33020.

There are six capability levels, incorporating nine process attributes.

Level 0: Incomplete process

The process is not implemented, or fails to achieve its process purpose.

At this level, there is little or no evidence of any systematic achievement of the process purpose.

Level 1: Performed process

The implemented process achieves its process purpose.

Level 2: Managed process

The previously described performed process is now implemented in a managed fashion (planned, monitored and adjusted) and its work products are appropriately established, controlled and maintained.

Level 3: Established process

The previously described managed process is now implemented using a defined process that is capable of achieving its process outcomes.

Level 4: Predictable process

The previously described established process now operates predictably within defined limits to achieve its process outcomes. Quantitative management needs are identified, measurement data are collected and analysed to identify assignable causes of variation. Corrective action is taken to address assignable causes of variation.

Level 5: Innovating process

The previously described predictable process is now continually improved to respond to change aligned with organizational goals.

Within the process assessment model, the measure of capability is based upon the nine process attributes (PA) defined in ISO/IEC 33020. Process attributes are used to determine whether a process has reached a given capability. Each attribute measures a particular aspect of the process capability.

At each level there is no ordering between the process attributes; each attribute addresses a specific aspect of the capability level. The list of process attributes is shown in Table 1.

Table 1 — Capability levels and process attributes

Process attribute ID	Capability levels and process attributes
	Level 0: Incomplete process
	Level 1: Performed process
PA 1.1	Process performance
	Level 2: Managed process

© ISO/IEC 2020 – All rights reserved

Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

Table 1 *(continued)*

Process attribute ID	Capability levels and process attributes
PA 2.1	Performance management
PA 2.2	Work products management
	Level 3: Established process
PA 3.1	Process definition
PA 3.2	Process deployment
	Level 4: Predictable process
PA 4.1	Quantitative analysis
PA 4.2	Quantitative control
	Level 5: Innovating process
PA 5.1	Process innovation
PA 5.2	Process innovation implementation

The process attributes are evaluated on a four point ordinal scale of achievement, as defined in ISO/IEC 33020. They provide insight into the specific aspects of process capability required to support process improvement and capability determination.

4.3 Assessment indicators

4.3.1 General

The process assessment model is based on the principle that the capability of a process can be assessed by demonstrating the achievement of process attributes on the basis of evidence related to assessment indicators.

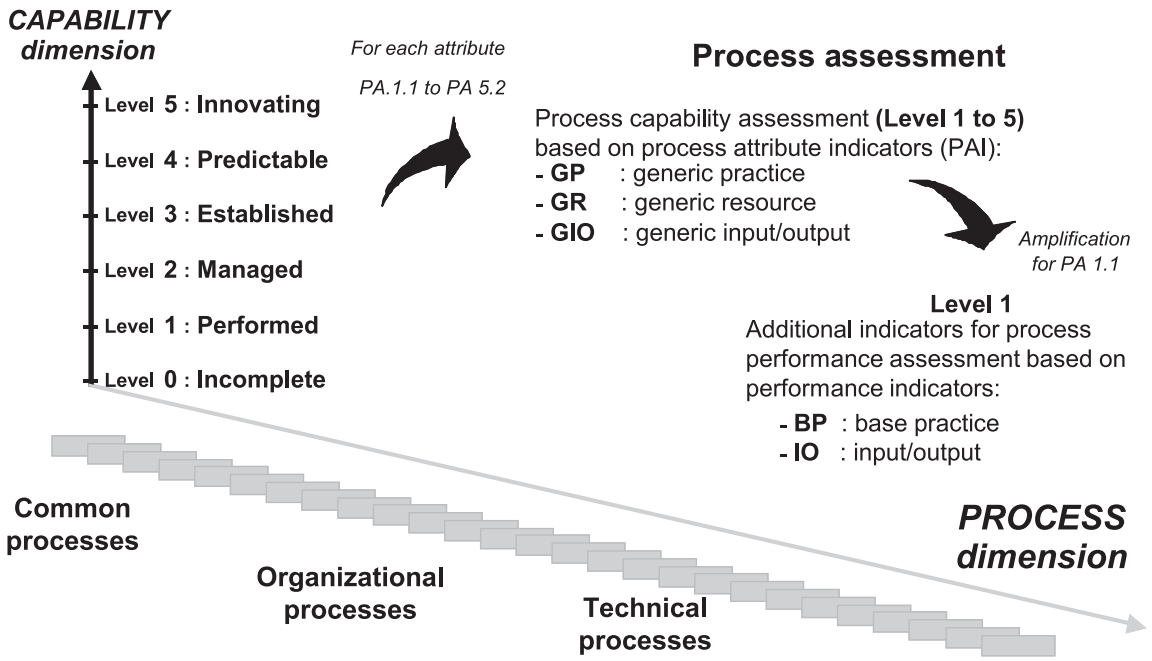

Figure 4 — Assessment indicators

There are two types of assessment indicators: process capability indicators, which apply to capability levels 1 to 5 and process performance indicators, which apply exclusively to capability level 1. These indicators are defined in 4.3.3.

© ISO/IEC 2020 – All rights reserved
Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

The process attributes in the capability dimension have a set of process capability indicators that provide an indication of the extent of achievement of the attribute in the instantiated process. These indicators concern significant activities, resources or results associated with the achievement of the attribute purpose by a process.

The process capability indicators are:

— generic practice (GP);

— generic resource (GR);

— generic input/output (GIO).

As additional indicators for supporting the assessment of a process at level 1, each process in the process dimension has a set of process performance indicators which is used to measure the degree of achievement of the process performance attribute for the process assessed.

The process performance indicators are:

— base practice (BP);

— input/output (IO).

The performance of base practices (BPs) provides an indication of the extent of achievement of the process purpose and process outcomes. Input/Outputs (IOs) are either used or produced (or both), when performing the process.

The process performance and process capability indicators defined in the process assessment model represent types of objective evidence that might be found in an instantiation of a process and therefore could be used to judge achievement of capability.

Figure 4 shows how the assessment indicators are related to process performance and process capability.

4.3.2 Process capability indicators

The three types of process capability indicators related to levels 1 to 5 are identified in Figure 5. They are intended to be applicable to all processes.

© ISO/IEC 2020 – All rights reserved

Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

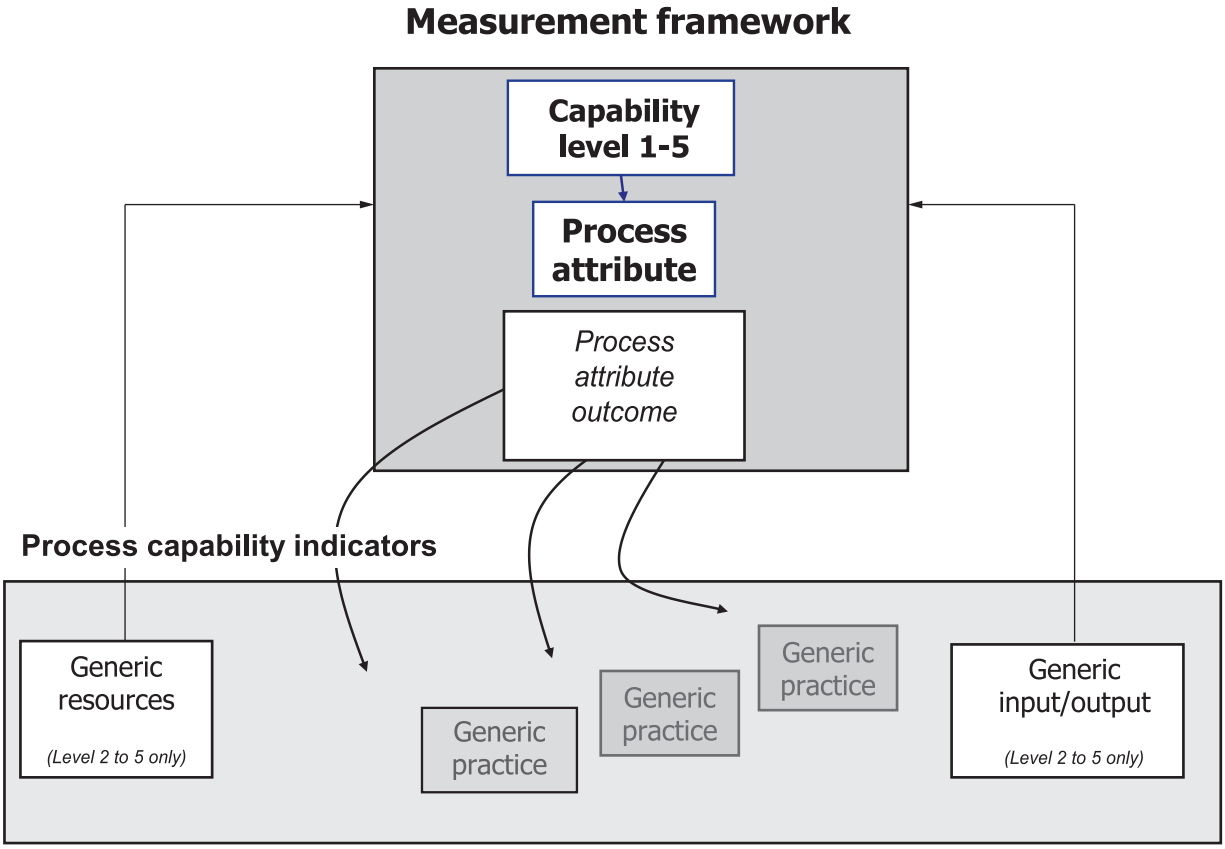

Figure 5 — Process capability indicators

All the process capability indicators relate to the process attributes defined in the capability dimension of the process assessment model. They represent the type of evidence that would support judgments of the extent to which the attributes are achieved. Evidence of their effective performance or existence supports the judgment of the degree of achievement of the attribute. The generic practices are the principal indicators of process capability.

The generic practice (GP) indicators are indicators of activities of a generic type and provide guidance on the implementation of the attribute's characteristics. They support the achievement of the process attribute and many of them concern management practices, i.e. practices that are established to support the process performance as it is characterized at level 1.

During the evaluation of process capability, the primary focus is on the performance of the generic practices. In general, performance of all generic practices is expected for full achievement of the process attribute.

The generic resource (GR) indicators are associated resources that may be used when performing the process in order to achieve the attribute. These resources may include human resources, tools, methods and infrastructure. The availability of a resource indicates the potential to fulfil the purpose of a specific attribute.

The assessor should interpret the generic resources according to the process assessed; e.g. for PA2.1 resources (with identified objectives, responsibilities and authorities), an assessor would look for roles (with identified objectives, responsibilities and authorities) in primary and supporting processes, but for organizational processes, would look for governance structures (e.g. mandated committees, positions) with identified objectives, responsibilities and authorities.

The generic input/output (GIO) indicators are sets of characteristics that would be expected to be evident in inputs/outputs of generic types as a result of achievement of an attribute. The generic inputs/

© ISO/IEC 2020 – All rights reserved
Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

outputs form the basis for the classification of the inputs/outputs defined as process performance indicators; they represent basic types of inputs/outputs from all types of processes.

These three types of indicators help to establish objective evidence of the extent of achievement of the specified process attribute.

Due to the fact that level 1 capability of a process is only characterized by the measure of the extent to which the process purpose is achieved, the process performance attribute (PA.1.1) has a single generic practice indicator (GP.1.1.1). In order to support the assessment of PA.1.1 and to amplify the process performance achievement analysis, additional process performance indicators are defined in the process assessment model.

4.3.3 Process performance indicators

There are two types of process performance indicators: base practice (BP) indicators and input/output (IO) indicators. Process performance indicators relate to individual processes defined in the process dimension of the process assessment model and are chosen to explicitly address the achievement of the defined process outcomes.

Evidence of performance of the base practices, and the presence of inputs/outputs with their expected characteristics, provide objective evidence of the achievement of the process outcomes.

A base practice is an activity that addresses the purpose of a particular process. Consistently performing the base practices associated with a process will help the consistent achievement of its purpose. A coherent set of base practices is associated with each process in the process dimension. The base practices are described at an abstract level, identifying "what" should be done without specifying "how". Implementing the base practices of a process should achieve the basic outcomes that reflect the process purpose. Base practices represent only the first step in building process capability, but the base practices represent the unique, functional activities of the process, even if that performance is not systematic.

In this particular process assessment model the base practices have been used as a vehicle to link the outcomes of each process in the process reference model with the requirements defined for that process in ISO/IEC 20000-1. This has been achieved using the following strategy:

— Singular requirements from ISO/IEC 20000-1 have been identified and assigned a unique identifier (process number plus sequential numbering within the sub-clause).

— Each process outcome has been linked to a single base practice.

This approach provides insight on how the singular requirements from ISO/IEC 20000-1 contribute to the achievement of the process purpose and outcomes. The performance of a process requires inputs and produces outputs that are identifiable and usable in achieving the purpose of the process. In this assessment model, each input/output has a defined set of example characteristics that may be used when reviewing the input/output to assess the effective performance of a process. Input/output characteristics may be used to identify the corresponding input/output produced/used by the assessed organization.

Clause 5 contains a complete description of the processes, including the base practices and the associated inputs and outputs.

Annex B contains a list of generic inputs/outputs together with their characteristics.

4.4 Measuring process capability

The process performance and process capability indicators in this model give examples of evidence that an assessor might obtain, or observe, in the performance of an assessment. The evidence obtained in the assessment, through observation of the implemented process, can be mapped onto the set of indicators to enable correlation between the implemented process and the processes defined in this

© ISO/IEC 2020 – All rights reserved

Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

assessment model. These indicators provide guidance for assessors in accumulating the necessary objective evidence to support judgments of capability. They are not mandatory.

An indicator is defined as an objective characteristic of a practice or input/output that supports performing a conformity assessment in accordance with the requirements of ISO/IEC 33004. The assessment indicators, and their relationship to process performance and process capability, are shown in Figure 6.

Observable (objective) evidence collected during an assessment is used to confirm the indicators (e.g., practices were performed). All such evidence comes either from the examination of inputs/outputs of the processes assessed, or from statements made by the performers and managers of the processes.

The existence of base practices, inputs/outputs, and input/output characteristics provides evidence of the performance of the processes associated with them. Similarly, the existence of process capability indicators provides evidence of process capability.

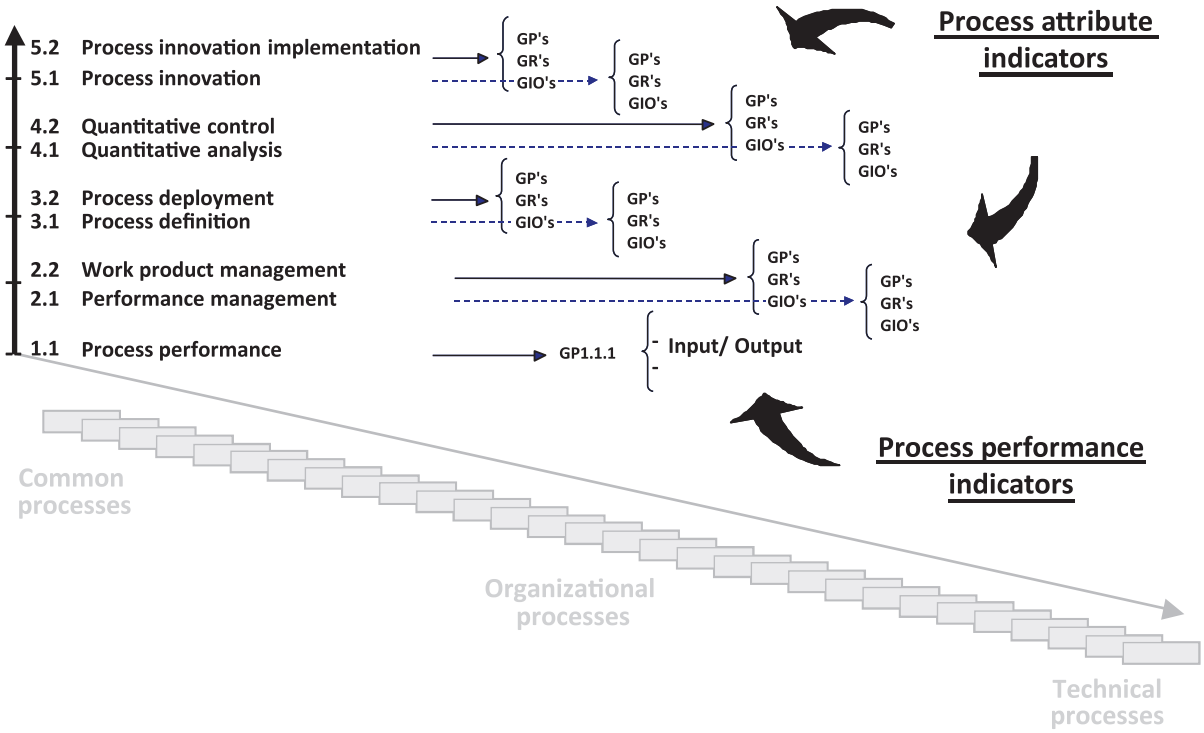

Figure 6 — Relationship between assessment indicators and process capability

The evidence obtained should be recorded in a form that clearly relates to an associated indicator, so that the support for the assessor's judgment can be readily confirmed or verified as required by ISO/IEC 33002.

The output from a process assessment is a set of process profiles, one for each process within the scope of the assessment. Each process profile consists of a set of the process attribute ratings for an assessed process. Each attribute rating represents a judgment by the assessor of the extent to which the attribute is achieved. To improve the reliability and repeatability of the assessment, the judgments of the assessor are based on a coherent set of recorded objective evidences.

© ISO/IEC 2020 – All rights reserved
Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

5 The process dimension and process performance indicators (level 1)

5.1 General

This clause defines the processes and the process performance indicators, also known as the process dimension, of the process assessment model. The processes in the process dimension can be directly mapped to the processes defined in the process reference model.

The processes are classified into process groups which are shown in Figure 3. The process purposes, outcomes, the practices, the inputs and outputs of processes are included in this clause.

The individual processes are described in terms of process name, process purpose, and process outcomes:

a) name: a short noun phrase that summarizes the scope of the process, identifying the principle concern of the process, and distinguishes it from other processes within the scope of the process reference model;

b) purpose: describes at a high level the overall objectives of performing the process;

c) 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.

In addition, the process dimension of the process assessment model provides information in the form of:

a) a set of base practices for the process needed to accomplish the process outcomes; a single base practice is explicitly associated with a process outcome;

b) a number of inputs/outputs associated with each process and their relationship to one or more of its outcomes by numbers in square brackets, (i.e. [n]);

c) characteristics associated with each input/output.

The input/output identifiers and characteristics are contained in Annex B.

The base practices and the inputs/outputs constitute the set of indicators of process performance. The associated inputs/outputs listed in this clause may be used when reviewing potential inputs and outputs of an organization's process implementation. They provide objective guidance for potential inputs and outputs to look for, and objective evidence supporting the assessment of a particular process. A documented assessment process and assessor judgment is needed to ensure that process context (application domain, business purpose, development methodology, size of the organization, etc.) is explicitly considered when using this information. This list should not be considered as a checklist of what each organization must have but rather as an example and starting point for considering whether, given the context, the inputs/outputs are necessary and contributing to the intended purpose of the process.

NOTE Some outcomes are not linked to specific requirements of ISO/IEC 20000-1. These additional outcomes have been included in order to present a complete process so that the process purpose can be achieved. The complete list of affected base practices is shown in Table C.2.

© ISO/IEC 2020 – All rights reserved

Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

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.

© ISO/IEC 2020 – All rights reserved
Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

Process ID	COM.01
Name	Communication management
Base practices	COM.01.BP.1 **Define information content** 1. The organization determines the internal and external communications relevant to the SMS and the services including on what it will communicate. [Outcome 1] COM.01.BP.2 **Identify parties to communicate with** 1. The service management policy is communicated within the organization. [Outcome 2] COM.01.BP.3 **Identify the parties responsible for the communication** 1. The organization determines the internal and external communications relevant to the SMS and the services including who will be responsible for the communication. [Outcome 3] COM.01.BP.4 **Identify events that require communication** 1. The organization determines the internal and external communications relevant to the SMS and the services including when to communicate. [Outcome 4] COM.01.BP.5 **Select the channel for communication** 1. The channel for communication is selected. [Outcome 5] COM.01.BP.6 **Communicate information products to relevant parties** 2. The service management policy is available to interested parties, as appropriate. [Outcome 6] 3. The service management objectives are communicated. 4. The communication promotes understanding of the evolving business environment in which the services operate and enables the organization to respond to new or changed service requirements. 5. Proposed deployment dates and other deployment details for approved changes are communicated to interested parties. 7. Top management is informed of major incidents. 8. The information security policy is made available as appropriate. 9. The organization communicates the importance of conforming to the information security policy and its applicability to the SMS and the services to appropriate persons within the organization. 10. The organization communicates the importance of conforming to the information security policy and its applicability to the SMS and the services to appropriate persons within customers and users. 11. The organization communicates the importance of conforming to the information security policy and its applicability to the SMS and the services to appropriate persons within external suppliers, internal suppliers and other interested parties. 12. The organization ensures that the results of the audits are reported to relevant management. 13. Agreed actions arising from service reporting are communicated to interested parties.

© ISO/IEC 2020 – All rights reserved

Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

Process ID	COM.01
Name	Communication management
Inputs	
12-02	Business relationship management process requirements [Outcome 6]
Outputs	
08-01	Audit nonconformance communication record [Outcome 6]
12-02	Business relationship management process requirements [Outcome 1,2,3,4,5,6]
04-06	Change schedule [Outcome 6]
08-11	Incident stakeholder communication record [Outcome 6]
05-7	Information security policy [Outcome 6]
08-14	Information security policy communication record [Outcome 6]
03-14	Management system strategy: Management commitment [Outcome 6]
03-25	Service management objectives [Outcome 6]
05-9	Service management policy [Outcome 2,6]
08-25	Service report communication record [Outcome 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.
Base practices	COM.02.BP.1 **Identify information to documented.** 1. The organization documents risks related to the organization. [Outcome 1] 2. The organization documents risks related to not meeting the service requirements. 3. The organization documents risks related to the involvement of other parties in the service lifecycle. 4. The organization documents the impact on customers of risks and opportunities for the SMS and the services.

© ISO/IEC 2020 – All rights reserved
Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

Process ID	COM.02
Name	Documentation management
	5. The organization documents the approach to be taken for the management of risks. 6. The documented information for the SMS includes change management policy, information security policy and service continuity plan(s). 7. The organization retains documented information on the service management objectives. 8. When creating and updating documented information, the organization ensures that appropriate identification and description (e.g. a title, date, author, or reference number) is provided. 10. The service management policy is available as documented information. 11. The documented information for the SMS includes the scope of the SMS. 12. The documented information for the SMS includes policy and objectives for service management. 13. The documented information for the SMS includes a service management plan. 14. The organization retains appropriate documented information as evidence of competence. 15. The documented information for the SMS includes processes of the organization's SMS. 16. The documented information for the SMS includes service requirements. 17. Documented information of external origin determined by the organization to be necessary for the planning and operation of the SMS is identified as appropriate. 18. The documented information for the SMS includes service catalogue(s). 19. The organization documents risk acceptance criteria. 20. The documented information for the SMS includes procedures that are required by ISO/IEC 20000-1. 21. The documented information for the SMS includes records required to demonstrate evidence of conformity to the requirements of this document and the organisation's SMS. 22. The organization determines the knowledge necessary to support the operation of the SMS and the services. 24. The organization plans, implements and controls the processes needed to fulfil requirements, and to implement the actions determined in ISO/IEC 20000-1:2018, Clause 6 by keeping documented information to the extent necessary to have confidence that the processes have been carried out as planned. 25. The service requirements for existing services, new services and changes to services are documented. 26. The organization documents services that are provided or operated by other parties. 27. The organization documents service components that are provided or operated by other parties.

© ISO/IEC 2020 – All rights reserved

Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

Process ID	COM.02
Name	Documentation management
	28. The organization documents processes, or parts of processes, in the organization's SMS that are operated by other parties. 29. Configuration information is recorded to a level of detail appropriate to the criticality and type of services. 30. The configuration information recorded for each CI includes unique identification. 31. The configuration information recorded for each CI includes the type of CI. 32. The configuration information recorded for each CI includes a description of the CI. 35. The customers, users and other interested parties of the services are documented. 36. For each service delivered, the organization establishes one or more SLAs based on the documented service requirements. 37. For each external supplier, the organisation agrees a documented contract. 38. Disputes between the organization and the external supplier are recorded. 39. For each internal supplier or customer acting as a supplier, the organization documents an agreement to define the service level targets, other commitments, activities and interfaces between, the parties. 40. The capacity requirements for human, technical, information and financial resources are documented. 41. A change management policy is documented to define service components and other items that are under the control of change management. 42. A change management policy is documented that defines categories of change, including emergency change, and how they are to be managed. 43. A change management policy is documented that defines criteria to determine changes with the potential to have a major impact on customers or services. 44. The results and conclusions drawn from the analysis are recorded. 45. The new or changed services are documented to meet the service requirements determined in ISO/IEC 20000-1:2018, 8.2.2. 46. The results and conclusions drawn from the analysis are recorded. 48. The risks to service availability are documented. 49. The risks to service continuity are documented. 50. The results of the [service continuity] tests are recorded. 51. The information security policy is documented and takes into consideration the service requirements and the obligations in ISO/IEC 20000-1:2018, 6.2. 52. The information security risks to the SMS and the services are documented. 53. Decisions about security control are documented. 54. The organization retains appropriate documented information as evidence of the results. 55. The organization retains documented information as evidence of the implementation of the audit programme and the audit results.

© ISO/IEC 2020 – All rights reserved
Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

Process ID	COM.02
Name	Documentation management
	56. The organization retains documented information as evidence of the results of management reviews. 57. The organization retains documented information as evidence of the nature of the nonconformities and any subsequent actions taken. 58. The organization retains documented information as evidence of the results of any corrective action. 59. Opportunities for improvement are documented. 60. Service availability requirements and targets are documented. RAA.2.BP.1 **Define service level targets and workload characteristics for services in service level agreements.** 1. The [documented] information for the SMS includes service level agreement(s) (SLA). [Outcome 1] SDB.1.BP.1 **The requirements for services are identified.** 1. The service requirements for existing services, new services and changes to services are documented. [Outcome 1] SPC.2.BP.4 **Control changes to items under configuration management.** 3. Before deployment of a release into the live environment, a baseline of the affected CIs is taken, if possible. [Outcome 1] COM.02.BP.2 **Define the forms of documented information representation.** 1. When creating and updating documented information, the organization ensures appropriate format (e.g. language, software version, graphics) and media (e.g. paper, electronic). [Outcome 2] COM.02.BP.1 **Identify information to documented.** 9. Documented information of external origin determined by the organization to be necessary for the planning and operation of the SMS is controlled. [Outcome 4] 23. The organization maintains the knowledge necessary to support the operation of the SMS and the services. 47. Records of incidents are updated with actions taken. COM.02.BP.4 **Documented information is current, complete and valid.** 1. The scope of the SMS is maintained as documented information. [Outcome 4] 2. When creating and updating documented information, the organization ensures appropriate review and approval for suitability and adequacy. 3. For the control of documented information, the organization addresses the following activities, as applicable, storage and preservation, including preservation of legibility. 4. For the control of documented information, the organization addresses the following activities, as applicable, control of changes (e.g. version control). 5. The knowledge is relevant and usable. 6. The organization maintains one or more service catalogues. 7. The capacity requirements for human, technical, information and financial resources are maintained.

© ISO/IEC 2020 – All rights reserved

Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

Process ID	COM.02
Name	Documentation management
	8. Records of service requests are updated with actions taken. 9. Records of problems are updated with actions taken. COM.02.BP.5 **Release documented information according to defined criteria.** 1. Management with appropriate authority approves an information security policy relevant to the organization. [Outcome 5] 2. The organization agrees information security controls to address information security risks related to external organizations. COM.02.BP.1 **Identify information to documented.** 34. Configuration information is made available for other service management activities as appropriate. [Outcome 6] COM.02.BP.6 **Make documented information available to relevant interested parties.** 1. The scope of the SMS is available as documented information. [Outcome 6] 2. Documented information required by the SMS and by this document is controlled to ensure it is available and suitable for use, where and when it is needed. 3. Documented information required by the SMS and by this document is controlled to ensure it is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity). 4. For the control of documented information, the organization addresses the following activities, as applicable, distribution, access, retrieval and use. 5. The knowledge is available to appropriate persons. 6. The organization provides access to appropriate parts of the service catalogue to its customers, users and other interested parties. 7. Access to configuration information is controlled. 8. Information about the success or failure of releases and future release dates is made available for other service management activities as appropriate. 9. Instructions for the fulfilment of service requests are made available to persons involved in service request fulfilment. COM.08.BP.1 **Identify process requirements.** 15. Up-to-date information on known errors and problem resolutions are made available for other service management activities as appropriate. [Outcome 6] 16. The service continuity plan(s) and list of contacts are accessible when access to the normal service location is prevented. COM.02.BP.7 **Archive, or dispose, of documented information as required.** 1. For the control of documented information, the organization addresses the following activities, as applicable, retention and disposition. [Outcome 7]

© ISO/IEC 2020 – All rights reserved
Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

Process ID	COM.02
Name	Documentation management
Inputs	
05-4	Configuration item definition policy [Outcome 1]
03-11	Management system strategy: Documentation [Outcome 1]
Outputs	
08-02	Audit result [Outcome 1]
12-03	Capacity requirements [Outcome 1,4]
09-03	Change analysis report [Outcome 1]
05-2	Change Management policy [Outcome 1]
09-05	Configuration item audit report [Outcome 6]
11-1	Configuration item change request [Outcome 6]
05-4	Configuration item definition policy [Outcome 1]
08-06	Configuration item record [Outcome 1]
06-1	Document management procedure [Outcome 1,2,4,6,7]
05-6	Improvement policy [Outcome 1]
06-2	Incident management procedure [Outcome 4]
12-05	Incident management process requirements [Outcome 4]
08-12	Information security controls approval record [Outcome 5]
03-04	Information security controls report [Outcome 1]
05-7	Information security policy [Outcome 1]
08-13	Information security policy approval record [Outcome 5]
02-04	Management review issue log [Outcome 1]
03-08	Management review objectives [Outcome 1]
03-11	Management system strategy: Documentation [Outcome 1]
03-13	Management system strategy: Knowledge [Outcome 1,4,6]
03-14	Management system strategy: Management commitment [Outcome 1]
03-16	MS Measurement information gathering events [Outcome 1]
03-17	New or changed service design [Outcome 1]
04-10	New or changed service plan [Outcome 1]
12-06	New or changed service requirements [Outcome 1]
08-18	Non-conformity record [Outcome 1]
06-4	Problem management procedure [Outcome 4]
12-09	Problem management process integration needs [Outcome 6]
06-5	Records management procedure [Outcome 6]
12-11	Release management process integration needs [Outcome 6]
09-16	Release performance analysis report [Outcome 1]
03-22	Risk and opportunity identification [Outcome 1]

© ISO/IEC 2020 – All rights reserved

Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

Process ID	COM.02
Name	Documentation management
03-23	Risk assessment criteria [Outcome 1]
12-12	Service availability requirements [Outcome 1]
03-24	Service catalogue [Outcome 4,6]
12-13	Service continuity management process requirements [Outcome 6]
09-21	Service continuity plan test report [Outcome 1]
01-1	Service level agreement [Outcome 1]
03-25	Service management objectives [Outcome 1]
04-16	Service management plan [Outcome 1]
05-9	Service management policy [Outcome 1]
03-30	Service management system scope [Outcome 4,6]
08-23	Service management training record [Outcome 1]
06-6	Service request procedure [Outcome 6]
02-13	Service stakeholder list [Outcome 1]
01-2	Supplier agreement [Outcome 1]
06-7	Supplier agreement dispute procedure [Outcome 1]
12-17	Supplier management process integration needs [Outcome 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.

© ISO/IEC 2020 – All rights reserved
Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

Process ID	COM.03
Name	Human resource management
Base practices	COM.03.BP.1 **Identify competencies required by the organisation to produce product and services.** 1. The organization determines the necessary competence of persons doing work under its control that affects the performance and effectiveness of the SMS and the services. [Outcome 1] COM.03.BP.2 **Fill identified competency gaps through training or recruitment.** 1. The organization ensures that these persons are competent on the basis of appropriate education, training or experience. [Outcome 2] 2. The organization, where applicable, takes actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken. COM.03.BP.3 **Each person demonstrates an understanding of roles and activities in achieving organisational objectives.** 1. Persons doing work under the organization's control are aware of the service management policy. [Outcome 3] 2. Persons doing work under the organization's control are aware of the service management objectives. 3. Persons doing work under the organization's control are aware of the services relevant to their work. 4. Persons doing work under the organization's control are aware of their contribution to the effectiveness of the SMS, including the benefits of improved performance. 5. Persons doing work under the organization's control are aware of the implications of not conforming with the SMS requirements.
Inputs	
03-09	Management system strategy: Competency [Outcome 3]
12-15	Service management competency requirements [Outcome 2,3]
08-23	Service management training record [Outcome 3]
Outputs	
03-09	Management system strategy: Competency [Outcome 2]
12-15	Service management competency requirements [Outcome 1]
08-23	Service management training record [Outcome 2,3]

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.

© ISO/IEC 2020 – All rights reserved

Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

Process ID	COM.04
Name	Improvement
Base practices	SDE.1.BP.5 **Satisfy the defined supplier obligations.** 3. Where service level targets are not met, the organization identifies opportunities for improvement. [Outcome 1] COM.04.BP.1 **Identify opportunities for improvement.** 1. Where service level targets are not met, the organization identifies opportunities for improvement. [Outcome 1] 2. Where service level targets or other contractual obligations are not met, the organization ensures that opportunities for improvement are identified. 3. Where service level targets or other agreed commitments are not met, the organization ensures that opportunities for improvement are identified. 4. The results are analysed to identify opportunities for improvement. 5. The results and conclusions drawn from the analysis of change management activities are reviewed to identify opportunities for improvement. 6. The results and conclusions drawn from the analysis of release and deployment activities are reviewed to identify opportunities for improvement. 7. After the incident has been resolved, the major incident is reviewed to identify opportunities for improvement. 8. Information security incidents are reviewed to identify opportunities for improvement. COM.04.BP.2 **Evaluate improvement opportunities against defined criteria.** 1. Improvement opportunities are evaluated against defined criteria. [Outcome 2] 2. The organization applies evaluation criteria to the opportunities for improvement when making decisions on their approval. COM.04.BP.3 **Prioritise improvement opportunities.** 1. The organization manages improvement activities that includes ensuring that improvements are prioritized. [Outcome 3] COM.04.BP.4 **Implement improvements.** 1. The organization manages improvement activities that include ensuring that improvements are implemented. [Outcome 4] COM.04.BP.5 **Evaluate the effectiveness of implemented improvements.** 1. The organization manages improvement activities that include measuring implemented improvements against the target(s) set and where target(s) are not achieved, taking necessary actions. [Outcome 5]
Inputs	
04-07	Improvement plan [Outcome 4,5]
05-6	Improvement policy [Outcome 2,3]
04-16	Service management plan [Outcome 1]

© ISO/IEC 2020 – All rights reserved
Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

Process ID	COM.04
Name	Improvement
Outputs	
09-02	Capacity usage analysis report [Outcome 1]
03-02	Change improvement opportunity [Outcome 1]
09-07	Improvement opportunity evaluation report [Outcome 2]
04-07	Improvement plan [Outcome 3,4,5]
05-6	Improvement policy [Outcome 2]
03-05	Information security improvement opportunity [Outcome 1]
03-07	Major incident improvement opportunity [Outcome 1]
03-21	Release performance improvement opportunity [Outcome 1]
03-31	Service provision improvement opportunity [Outcome 1]
03-34	Services improvement opportunity [Outcome 1]
03-35	Supplier performance improvement opportunity [Outcome 1]

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.
Base practices	COM.05.BP.1 **Define the scope and purpose of each audit.** 1. The organization defines the audit criteria and scope for each audit. [Outcome 1] COM.05.BP.2 **Assure the objectivity and impartiality of conduct of audits and the selection of auditors.** 1. The organization selects auditors and conduct audits to ensure objectivity and the impartiality of the audit process. [Outcome 2] COM.05.BP.3 **Determine the conformity of selected services, products and processes with requirements, plans and agreements.** 1. The organization conducts internal audits to provide information on whether the SMS conforms to the organization's own requirements for its SMS. [Outcome 3] 2. The organization conducts internal audits to provide information on whether the SMS conforms to the requirements of ISO/IEC 20000-1. 3. The organization conducts internal audits to provide information on whether the SMS is effectively implemented and maintained.

© ISO/IEC 2020 – All rights reserved

Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

Process ID	COM.05
Name	Internal audit
Inputs	
04-01	Audit plan [Outcome 2]
02-01	Auditor list [Outcome 3]
04-16	Service management plan [Outcome 1]
Outputs	
03-01	Audit objectives [Outcome 3]
04-01	Audit plan [Outcome 1]
02-01	Auditor list [Outcome 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.
Base practices	COM.06.BP.1 **Establish the objectives of the review.** 1. The management review includes consideration of the status of actions from previous management reviews. [Outcome 1] 2. The management review includes consideration of changes in external and internal issues that are relevant to the SMS. 3. The management review includes consideration of information on the performance and effectiveness of the SMS, including trends in monitoring and measurement results. 4. The management review includes consideration of information on the performance and effectiveness of the SMS, including trends in nonconformities and corrective actions. 5. The management review includes consideration of information on the performance and effectiveness of the SMS, including trends in audit results.

© ISO/IEC 2020 – All rights reserved
Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

Process ID	COM.06
Name	Management review
	6. The management review includes consideration of opportunities for continual improvement. 7. The management review includes consideration of feedback from customers and other interested parties. 8. The management review includes consideration of adherence to and suitability of the service management policy and other policies required by ISO/IEC 20000-1. 9. The management review includes consideration of achievement of service management objectives. 10. The management review include consideration of performance of the services. 11. The management review includes consideration of performance of other parties involved in the delivery of the services. 12. The management review includes consideration of current and forecast human, technical, information and financial resource levels, and human and technical capabilities. 13. The management review includes consideration of results of risk assessment and the effectiveness of actions taken to address risks and opportunities. 14. The management review includes consideration of changes that can affect the SMS and the services. COM.06.BP.2 **Assess the status and performance of an activity or process in terms of the established objectives.** 1. Top management assigns the responsibility and authority for ensuring that the SMS conforms to the requirements of ISO/IEC 20000-1. [Outcome 2] 2. Top management reviews the organization's SMS and the services, to ensure their continuing suitability, adequacy and effectiveness. COM.06.BP.3 **Identify risks, problems and opportunities for improvement.** 1. The outputs of the management review include decisions related to continual improvement opportunities and any need for changes to the SMS and the services. [Outcome 3]
Inputs	
02-04	Management review issue log [Outcome 3]
03-08	Management review objectives [Outcome 2]
Outputs	
02-04	Management review issue log [Outcome 2,3]
03-08	Management review objectives [Outcome 1]
03-29	Service management roles and responsibilities [Outcome 2]

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.

© ISO/IEC 2020 – All rights reserved

Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

Process ID	COM.07
Name	Non-conformity management
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.
Base practices	COM.07.BP.1 **Identify non-conformities.** 1. Non-conformities are identified. [Outcome 1] COM.07.BP.2 **Resolve and close non-conformities.** 1. When a nonconformity occurs, the organization reacts to the nonconformity, and as applicable, takes action to control and correct it. [Outcome 2] 2. When a nonconformity occurs, the organization reacts to the nonconformity, and as applicable, deal with the consequences. COM.07.BP.3 **Determine the cause(s) of selected non-conformities.** 1. When a nonconformity occurs, the organization evaluates the need for action to eliminate the causes of the nonconformity in order that it does not recur or occur elsewhere by reviewing the nonconformity. [Outcome 3] 2. When a nonconformity occurs, the organization evaluates the need for action to eliminate the causes of the nonconformity in order that it does not recur or occur elsewhere by determining the causes of the nonconformity. COM.07.BP.4 **Evaluate the need for action to eliminate the causes of non-conformities.** 1. When a nonconformity occurs, the organization evaluates the need for action to eliminate the causes of the nonconformity in order that it does not recur or occur elsewhere by determining if similar nonconformities exist, or could potentially occur. [Outcome 4] 2. Corrective actions are appropriate to the effects of the nonconformities encountered. COM.07.BP.5 **Implement a selected action proposal.** 1. When a nonconformity occurs, the organization implements any action needed. [Outcome 5] 2. When a nonconformity occurs, the organization makes changes to the SMS, if necessary. COM.07.BP.6 **Confirm the effectiveness of changes to eliminate the non-conformities.** 1. When a nonconformity occurs, the organization reviews the effectiveness of any corrective action taken. [Outcome 6]
Inputs	
08-07	Corrective action cause analysis record [Outcome 4,5]
08-08	Corrective action change proposal approval record [Outcome 6]
08-17	Non-conformity disposition record [Outcome 2,3]

© ISO/IEC 2020 – All rights reserved
Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

Process ID	COM.07
Name	Non-conformity management
Outputs	
08-07	Corrective action cause analysis record [Outcome 3,4]
08-08	Corrective action change proposal approval record [Outcome 5]
08-09	Corrective action record [Outcome 4]
03-08	Management review objectives [Outcome 6]
08-17	Non-conformity disposition record [Outcome 1,2]

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.

© ISO/IEC 2020 – All rights reserved

Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

Process ID	COM.08
Name	Operational planning
Base practices	COM.08.BP.1 **Identify process requirements.** 1. The organization determines the approach to be taken for the management of risks. [Outcome 1] 2. When planning how to achieve its service management objectives, the organization determines what will be done. 9. Assessing, approving, scheduling and reviewing of new or changed services in the scope of ISO/IEC 20000-1:2018, 8.5.2 is managed through the change management activities in ISO/IEC 20000-1:2018, 8.5.1.3. 10. Requests for change not being managed through ISO/IEC 20000-1:2018, 8.5.2 are managed through the change management activities in ISO/IEC 20000-1:2018, 8.5.1.3. 12. Release and deployment management is used to deploy approved new or changed services into the live environment. 14. Changes needed for problem resolution are managed according to the change management policy. 17. The organization determines when the monitoring and measuring shall be performed. 18. The organization determines when the results from monitoring and measurement are analysed and evaluated. 19. The organization determines evaluation criteria to be applied to the opportunities for improvement when making decisions on their approval. 20. Evaluation criteria include alignment of the improvement with service management objectives. COM.08.BP.3 **Determine the set of activities that transform the inputs into outputs.** 1. The set of activities that transforms the inputs into outputs is determined. [Outcome 3] COM.08.BP.4 **Determine the sequence and interaction of the process with other processes.** 1. Top management demonstrates leadership and commitment with respect to the SMS by ensuring the integration of the SMS requirements into the organization's business processes. [Outcome 4] 2. When planning how to achieve its service management objectives, the organization determines when it will be completed.

© ISO/IEC 2020 – All rights reserved
Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

Process ID	COM.08
Name	Operational planning
	COM.08.BP.5 **Identify the required competencies and roles for performing the process.** 1. The service management plan includes or contains a reference to authorities and responsibilities for the SMS and the services. [Outcome 5] COM.08.BP.6 **Identify the required resources for performing the process.** 1. Top management demonstrates leadership and commitment with respect to the SMS by ensuring that the resources needed for the SMS and the services are available. [Outcome 6] 2. When planning how to achieve its service management objectives, the organization determines what resources will be required. 3. The service management plan includes or contains a reference to human, technical, information and financial resources necessary to operate the SMS and the services. 4. The organization determines the human, technical, information and financial resources needed for the establishment, implementation, maintenance and continual improvement of the SMS and the operation of the services to meet the service requirements and achieve the service management objectives. COM.08.BP.7 **Determine the methods for monitoring the effectiveness and suitability of the process.** 1. When planning how to achieve its service management objectives, the organization determines how the results will be evaluated. [Outcome 7] 2. The service management plan includes or contains a reference to how the effectiveness of the SMS and the services will be measured, audited, reported and improved. 3. The organization manages improvement activities that include setting one of more targets for improvement in areas such as quality, value, capability, cost, productivity, resource utilization and risk reduction. RAA.2.BP.1 **Define service level targets and workload characteristics for services in service level agreements.** 3. The organization plans, implements and controls the processes needed to fulfil requirements, and to implement the actions determined in 6 by establishing performance criteria for the processes based on requirements. [Outcome 7] RAA.3.BP.3 **Produce service reports produced according to the service report requirements.** 5. The effectiveness of problem resolution is monitored and reported. [Outcome 7]

© ISO/IEC 2020 – All rights reserved

Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

Process ID	COM.08
Name	Operational planning
	COM.08.BP.8 **Develop plans for the deployment of the process.** 1. The organization plans how to integrate and implement the actions into its SMS processes. [Outcome 8] 2. The service management plan includes or contains a reference to a list of services. 3. The organization creates, implements and maintains a service management plan. 4. The service management plan includes or contains a reference to known limitations that can impact the SMS and the services. 5. The service management plan includes or contains a reference to obligations such as relevent policies, standards, legal, regulatory and contractual requirements , and how these obligations apply to the SMS and the services. 6. The service management plan includes or contains a reference to technology used to support the SMS. 7. Planning takes into consideration the service management policy, service management objectives, risks and opportunities, service requirements and requirements specified in ISO/IEC 20000-1. 8. Other planning activities maintain alignment with the service management plan. 9. At planned intervals the organization verifies the accuracy of the configuration information. 10. The service management plan includes or contains a reference to the approach to be taken for working with other parties involved in the service lifecycle. 11. At planned intervals the organization reviews the performance trends and the outcomes of the services. 12. At planned intervals, the organization measures satisfaction with the services based on a representative sample of customers. 13. At planned intervals, the organization monitors, reviews and reports on performance against service level targets actual and periodic changes in workload compared to workload limits in the SLA(s). 14. At planned intervals the organization reviews the contract against current service requirements. 15. At planned intervals the organization monitors the performance of the external supplier. 16. At planned intervals, the organization monitors the performance of the internal supplier or the customer acting as a supplier. 17. At planned intervals, the organization monitors and reports on actual costs against the budget, review the financial forecasts and manage costs. 18. At planned intervals, the organization determines current demand and forecast future demand for services;

© ISO/IEC 2020 – All rights reserved
Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

Process ID	COM.08
Name	Operational planning
	19. At planned intervals, the organization determines current demand and] forecast future demand for services. 20. At planned intervals, the organization monitors and reports on demand and consumption of services. 21. At planned intervals, the organization monitors and reports on demand and consumption of services. 22. Proposed deployment dates and other deployment details for approved changes are communicated to interested parties. 23. The activities to reverse or remedy an unsuccessful change are planned and, where possible, tested. 24. At planned intervals, requests for change records shall be analysed to detect trends. 25. Planning uses the service requirements for the new or changed services determined in ISO/IEC 20000-1:2018, 8.2.2 and includes or contains a reference to authorities and responsibilities for design, build and transition activities. 26. Planning uses the service requirements for the new or changed services determined in ISO/IEC 20000-1:2018, 8.2.2 and includes or contains a reference to activities to be performed by the organization or other parties with their timescales. 27. Planning uses the service requirements for the new or changed services determined in ISO/IEC 20000-1:2018, 8.2.2 and includes or contains a reference to human, technical, information and financial resources. 28. Planning uses the service requirements for the new or changed services determined in ISO/IEC 20000-1:2018, 8.2.2 and includes or contains a reference to dependencies on other services. 29. Planning uses the service requirements for the new or changed services determined in ISO/IEC 20000-1:2018, 8.2.2 and includes or contains a reference to testing needed for the new or changed services. 30. Planning uses the service requirements for the new or changed services determined in ISO/IEC 20000-1:2018, 8.2.2 and includes or contains a reference to service acceptance criteria. 31. Planning uses the service requirements for the new or changed services determined in ISO/IEC 20000-1:2018, 8.2.2 and includes or contains a reference to intended outcomes from delivering the new or changed services, expressed in measurable terms. 32. Planning uses the service requirements for the new or changed services determined in ISO/IEC 20000-1:2018, 8.2.2 and includes or contains a reference to impact on the SMS, other services, planned changes, customers, users and other interested parties. 33. For services that are to be removed, the planning additionally includes the date(s) for the removal of the activities for archiving, disposal or transfer of data, documented information and service components.

© ISO/IEC 2020 – All rights reserved

Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

Process ID	COM.08
Name	Operational planning
	34. For services that are to be transferred, the planning additionally includes the date(s) for the transfer of the services and the activities for the transfer of data, documented information, knowledge and service components. 35. The organization plans the deployment of new or changed services and service components into the live environment. 36. Planning is co-ordinated with change management and include references to the related requests for change, known errors or problems which are being closed through the release. 37. Planning includes the dates for deployment of each release, deliverables and methods of deployment. 38. At planned intervals the effectiveness of problem resolution is monitored, reviewed and reported. 39. At planned intervals, the risks to service availability are assessed and documented. 40. At planned intervals, the risks to service continuity are assessed and documented. 41. At planned intervals, the service continuity plan(s) are tested against the service continuity requirements. 42. At planned intervals, the information security risks to the SMS and the services are assessed and documented. 43. The organization plans actions to address these (information security) risks and opportunities and their priorities. 44. The organization conducts internal audits at planned intervals to provide information. 45. The organization plans, establishes, implements and maintains an audit programme(s), including the frequency, methods, responsibilities, planning requirements and reporting, that takes into consideration the importance of the processes concerned. 46. The organization plans, establishes, implements and maintains an audit programme(s), including the frequency, methods, responsibilities, planning requirements and reporting, that take into consideration changes affecting the organization. 47. The organization plans, establishes, implements and maintains an audit programme(s), including the frequency, methods, responsibilities, planning requirements and reporting, that takes into consideration the results of previous audits. 48. Top management reviews the organization's SMS and the services, at planned intervals, to ensure their continuing suitability, adequacy and effectiveness. 49. The organization plans how to evaluate the effectiveness of these actions.
Inputs	
03-18	Process description [Outcome 8]
04-18	Service provision review schedule [Outcome 8]

© ISO/IEC 2020 – All rights reserved
Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

Process ID	COM.08
Name	Operational planning
Outputs	
04-02	Audit programme [Outcome 8]
04-03	Audit schedule [Outcome 8]
05-2	Change Management policy [Outcome 1]
04-05	Change request analysis schedule [Outcome 8]
04-06	Change schedule [Outcome 8]
04-07	Improvement plan [Outcome 7,8]
05-6	Improvement policy [Outcome 1]
04-08	Management review schedule [Outcome 8]
03-14	Management system strategy: Management commitment [Outcome 6]
02-05	MS Implementation log [Outcome 7]
03-16	MS Measurement information gathering events [Outcome 1]
04-09	New and changes services schedule [Outcome 8]
04-10	New or changed service plan [Outcome 8]
12-08	New or changed services process integration needs [Outcome 1]
12-10	Problem management process requirements [Outcome 1]
08-19	Problem resolution effectiveness review record [Outcome 7,8]
03-18	Process description [Outcome 3]
04-11	Release plan [Outcome 8]
04-12	Release schedule [Outcome 8]
04-13	Reversing unsuccessful changes plan [Outcome 8]
03-23	Risk assessment criteria [Outcome 2]
04-14	Risk treatment plan [Outcome 4,8]
04-15	Service continuity plan [Outcome 8]
12-15	Service management competency requirements [Outcome 5]
04-16	Service management plan [Outcome 1,4,5,6,7,8]
03-26	Service management planning objectives [Outcome 1,4,6,7]
03-28	Service management resource needs [Outcome 6]
04-17	Service management risk assessment schedule [Outcome 8]
04-18	Service provision review schedule [Outcome 8]
04-20	Services review schedule [Outcome 8]
04-21	Supplier performance review schedule [Outcome 8]

© ISO/IEC 2020 – All rights reserved

Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

5.10 COM.09 Operational implementation and control

Process ID	COM.09
Name	Operational implementation and control
Purpose	The purpose of the operational implementation and control process 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.
Base practices	COM.09.BP.1 **Allocate the required roles, responsibilities and authorities.** 1. Top management demonstrate leadership and commitment with respect to the SMS by ensuring that appropriate levels of authority are assigned for making decisions related to the SMS and the services. [Outcome 1] 2. Top management ensures that the responsibilities and authorities for roles relevant to the SMS and the services are assigned and communicated within the organization. 3. The organization has one or more designated individuals responsible for managing customer relationships and maintaining customer satisfaction. 4. When planning how to achieve its service management objectives, the organization determines who will be responsible. 5. The organization has one of more designated individuals responsible for managing the relationship, contracts and performance of external suppliers. 6. The organization assigns responsibility for managing each major incident. COM.09.BP.2 **Allocate and apply the required resources.** 1. The organization provides the human, technical, information and financial resources needed for the establishment, implementation, maintenance and continual improvement of the SMS and the operation of the services to meet the service requirements and achieve the service management objectives. [Outcome 2] COM.09.BP.3 **Implement actions required to achieve the management system objectives.** 1. Improvement activities, that are to be managed, are approved by the organization. [Outcome 3]

© ISO/IEC 2020 – All rights reserved
Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

Process ID	COM.09
Name	Operational implementation and control
	2. When planning for the SMS, the organization considers the issues referred to in ISO/IEC 20000-1:2018, 4.1 and the requirements referred to in ISO/IEC 20000-1:2018, 4.2 and determine the risks and opportunities that need to be addressed to give assurance that the SMS can achieve its intended outcome(s). 3. The organization operates the SMS ensuring co-ordination of the activities and the resources. 4. Major incidents are classified and managed according to a documented procedure. 5. The organization manages improvement activities that include revising the SMS, if necessary. RAA.2.BP.2 **Monitor services against service level agreements.** 1. The organization plans, implements and controls the processes needed to fulfil requirements, and to implement the actions determined in 6 by implementing control of the processes in accordance with the established performance criteria. [Outcome 3] COM.09.BP.4 **Review the suitability and effectiveness of the actions taken to achieve the management system objectives.** 1. The organization reviews changes for effectiveness and takes actions agreed with interested parties. [Outcome 4] 2. The success or failure of releases is monitored. 3. After the incident has been resolved, the major incident is reported and reviewed. 4. The effectiveness of problem resolution is monitored, and reviewed. 6. If the acceptance criteria are not met, the organization and interested parties makes a decision on necessary actions and deployment. COM.09.BP.5 **Correct deviations from planned arrangements when targets are not achieved.** 1. The organization controls planned changes to the SMS and reviews the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary. [Outcome 5] 2. Where a service complaint is not resolved through the normal channels, a method of escalation is provided. 3. Unsuccessful changes are investigated and agreed actions are taken. 4. The organization makes decisions and takes actions based on the findings in service reports. COM.09.BP.6 **Collect and analyse data as a basis for understanding the behaviour of, and to demonstrate the suitability and effectiveness of the processes.** 1. The management review includes consideration of information on the performance and effectiveness of the SMS, including trends in nonconformities and corrective actions. [Outcome 6] 2. The management review includes consideration of information on the performance and effectiveness of the SMS, including trends in monitoring and measurement results. 3. The management review includes consideration of information on the performance and effectiveness of the SMS, including trends in audit results.

© ISO/IEC 2020 – All rights reserved

Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

Process ID	COM.09
Name	Operational implementation and control
Inputs	
04-16	Service management plan [Outcome 1,2,3,4,5]
Outputs	
09-03	Change analysis report [Outcome 5]
09-04	Change effectiveness evaluation report [Outcome 4]
04-07	Improvement plan [Outcome 3]
08-15	Major incident review record [Outcome 4]
03-08	Management review objectives [Outcome 6]
03-10	Management system strategy: Delivery [Outcome 3]
03-14	Management system strategy: Management commitment [Outcome 3]
02-05	MS Implementation log [Outcome 3,5]
08-19	Problem resolution effectiveness review record [Outcome 4]
08-20	Release review record [Outcome 4]
04-16	Service management plan [Outcome 1]
03-26	Service management planning objectives [Outcome 1]
03-27	Service management resource allocation [Outcome 2]
03-29	Service management roles and responsibilities [Outcome 1]
02-10	Service provider role assignments list [Outcome 1]
02-11	Service provision complaint resolution log [Outcome 5]
02-12	Service provision issue log [Outcome 5]

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.

© ISO/IEC 2020 – All rights reserved
Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

Process ID	COM.10
Name	Performance evaluation
Base practices	COM.10.BP.1 **Define performance monitoring and measurement needs.** 1. Measurements include incidents related to a release in the period following deployment of a release. [Outcome 1] COM.10.BP.2 **Identify performance measures, derived from the performance measurement needs.** 1. The organization determines what needs to be monitored and measured for the SMS and the services. [Outcome 1] COM.10.BP.3 **Identify performance measurement methods, supportive of the performance measures.** 1. The organization defines and apply controls for other parties that include measurement and evaluation of the effectiveness of services and service components in the fulfilment of service requirements. [Outcome 3] 2. The organization determines the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results. COM.10.BP.4 **Collect data using the identified performance measurement methods.** 1. The service management objectives are monitored. [Outcome 4] 2. Customer satisfaction with the services is measured, based on a representative sample of customers. COM.10.BP.5 **Analyse the collected performance data.** 1. The results are analysed, and reviewed. [Outcome 5] 2. Request for change records are analysed to detect trends. 3. The success or failure of releases is analysed. 4. The organization analyses the information security incidents by type, volume and impact on the SMS, services and interested parties. 5. The organization evaluates the SMS performance against the service management objectives and evaluates the effectiveness of the SMS. 6. The organization evaluates the effectiveness of the services against the service requirements. RAF.3.BP.2 **Identify and classify problems.** 1. The organization analyses data and trends on incidents to identify problems. [Outcome 5]
Inputs	
03-20	Release measurement information needs [Outcome 2,3]
03-25	Service management objectives [Outcome 5]
12-17	Supplier management process integration needs [Outcome 4]

© ISO/IEC 2020 – All rights reserved

Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

Process ID	COM.10
Name	Performance evaluation
Outputs	
09-03	Change analysis report [Outcome 5]
08-10	Customer satisfaction review record [Outcome 4]
09-10	Information security incident analysis report [Outcome 5]
03-16	MS Measurement information gathering events [Outcome 1,3,5]
03-20	Release measurement information needs [Outcome 1]
09-16	Release performance analysis report [Outcome 5]
09-18	Risk assessment report [Outcome 5]
03-25	Service management objectives [Outcome 4]
02-11	Service provision complaint resolution log [Outcome 5]
12-17	Supplier management process integration needs [Outcome 3]

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.

© ISO/IEC 2020 – All rights reserved
Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

Process ID	COM.11
Name	Risk management
Base practices	COM.11.BP.1 **Establish criteria for risk evaluation and acceptance** 1. The organization determines risk acceptance criteria. [Outcome 1] COM.11.BP.2 **Identify risks.** 1. The organization determines risks related to the organization. [Outcome 2] 2. The organization determines risks related to not meeting the service requirements. 3. The organization determines risks related to the involvement of other parties in the service lifecycle. 4. The organization manages identified risks associated with the alignment of service level targets or other contractual obligations for the external supplier against SLAs with customers. 5. The risks to service availability are assessed. 6. The risks to service continuity are assessed. 7. The information security risks to the SMS and the services are assessed. COM.11.BP.3 **Analyse identified risks.** 1. Identified risks are analysed. [Outcome 3] COM.11.BP.4 **Evaluate risks against defined criteria.** 1. The organization determines the impact on customers of risks [and opportunities] for the SMS and the services. [Outcome 4] COM.11.BP.5 **Select risks for treatment.** 1. Risks are selected for treatment. [Outcome 5] COM.11.BP.6 **Treat selected risks.** 1. Selected risks are treated. [Outcome 6]
Inputs	
03-08	Management review objectives [Outcome 3]
03-14	Management system strategy: Management commitment [Outcome 2]
09-17	Risk analysis report [Outcome 4]
03-22	Risk and opportunity identification [Outcome 3]
03-23	Risk assessment criteria [Outcome 4,5]
09-20	Risk treatment selection report [Outcome 6]
Outputs	
03-08	Management review objectives [Outcome 2]
09-17	Risk analysis report [Outcome 3]
03-22	Risk and opportunity identification [Outcome 2]
03-23	Risk assessment criteria [Outcome 1,4]
04-14	Risk treatment plan [Outcome 6]
09-19	Risk treatment report [Outcome 6]
09-20	Risk treatment selection report [Outcome 5]
09-24	Supplier performance evaluation report [Outcome 2]

© ISO/IEC 2020 – All rights reserved

Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020

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.
Base practices	SDE.1.BP.1 **Identify customers for services.** 1. The customers, users and other interested parties of the services are identified. [Outcome 1] RAA.1.BP.1 **Identify needs and expectations of customers.** 1. The organization determines the relevant requirements of these interested parties. [Outcome 1] 2. The customers, users and other interested parties of the services are identified. RAA.1.BP.2 **Measure customer satisfaction.** 1. The organization measures satisfaction with the services based on a representative sample of customers. [Outcome 2] RAA.1.BP.3 **Manage service complaints through their lifecycle to closure.** 1. Service complaints are recorded, managed to closure and reported. [Outcome 3] RAA.2.BP.2 **Monitor services against service level agreements.** 2. The organization reviews the performance trends and the outcomes of the services. [Outcome 4] RAA.1.BP.4 **Review service performance trends and outcomes.** 1. Service performance trends and outcomes are reviewed. [Outcome 4]
Inputs	
Outputs	
08-10	Customer satisfaction review record [Outcome 2]
04-16	Service management plan [Outcome 1]
02-11	Service provision complaint resolution log [Outcome 3]
08-24	Service provision review record [Outcome 4]
02-13	Service stakeholder list [Outcome 1]

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.

© ISO/IEC 2020 – All rights reserved
Documents
Document Sharing Hub
Full document details: PD ISO/IEC TS 33074:2020