

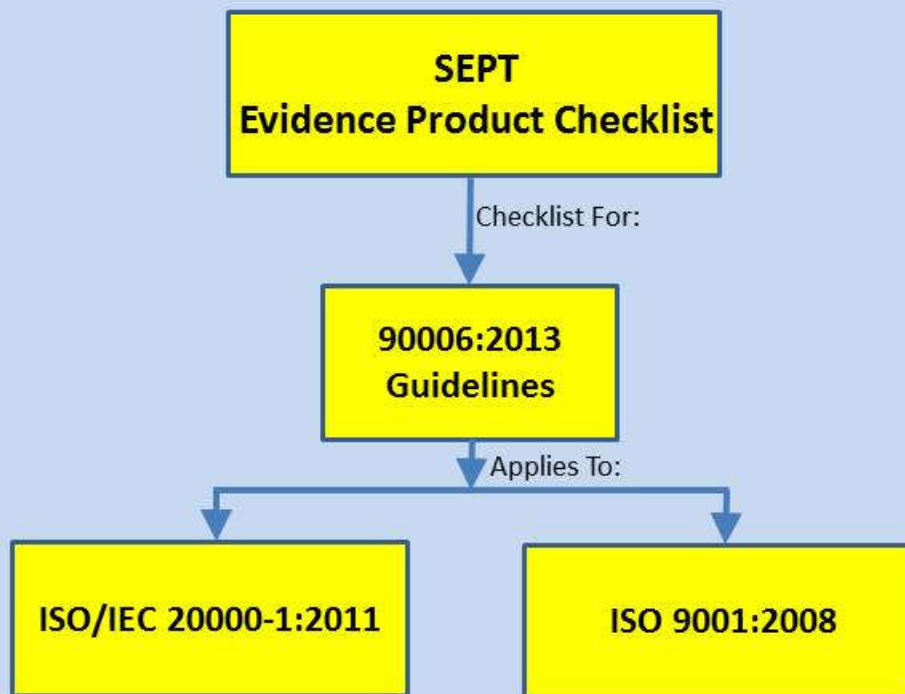


Checklist

SEPT Evidence Product Checklist

For
Standard ISO/IEC TR 90006:2013
Guidelines for the Application of ISO 9001:2008 to
IT Service Management and its Integration with
ISO/IEC 20000-1:2011

SEPT Product 80
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**SEPT EVIDENCE PRODUCT
CHECKLIST**
For ISO/IEC TR 90006:2013
Guidelines for the application of ISO
9001:2008 to IT service management and its
integration with ISO/IEC 20000-1:2011
2013 version

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ISO/IEC TR 90006:2013 Guidelines for the application of ISO 9001:2008 to IT service management and its integration with ISO/IEC 20000-1:2011 – SEPT Evidence Product Checklist

Overview of the Technical Report ISO/IEC TR 90006:2013 Application of ISO 9001 with ISO/IEC 20000-1

ISO/IEC TR 90006:2013 specifies guidelines for a quality management system where an organization in the service management community faces both requirements for ISO 9001 and ISO/IEC 20000-1 compliance and:

- Needs to demonstrate its ability to consistently provide services that meets customer and applicable statutory and regulatory requirements, and aims to enhance customer satisfaction through the effective application of the services, including processes for continual improvement of the services and the assurance of conformity to customer and applicable statutory and regulatory requirements.
- All guidelines of ISO/IEC TR 90006:2013 are generic and are intended to be applicable to all organizations, regardless of type, size and services provided.
- Where any guideline(s) of ISO/IEC TR 90006:2013 cannot be applied due to the nature of an organization and its services, this can be considered for exclusion.
- Where exclusions are made, claims of conformity to ISO/IEC TR 90006:2013 are not acceptable unless these exclusions are limited to requirements within ISO 9001 (or ISO/IEC 20000-1), and such exclusions do not affect the organization's ability, or responsibility, to provide services that meet customer and applicable statutory and regulatory requirements.
- The items in Section 2b of the checklist are listed in ISO/IEC TR 90006 as not included in ISO 9001 but included in ISO/IEC 20000-1. Any organization that is working in Service Management should consider whether these items are important for their operational success and include them in their Service Management System. However, they are not required to satisfy ISO 9001 requirements as stated.

ISO/IEC TR 90006:2013 is a Technical Report and as such only provides guidelines rather than requirements. However its intended use is for organizations that are seeking to check conformity to ISO 9001 in a Service Management (ISO/IEC 20000-1) environment. So this checklist forms a bridge to assist the checking process.

Introduction to the Checklist

The process of defining what is necessary for compliance with a quality management process technical report such as “ISO/IEC TR 90006:2013” is often confusing and

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laborious because the directions contained in the document are unclear or ambiguous. To aid in determining what is actually “required” by the document in the way of physical evidence of compliance, the experts at SEPT have produced this checklist. This checklist is constructed around a classification scheme of physical evidence comprised of policies, procedures, plans, records, documents, audits, and reviews. There must be an accompanying record of some type when an audit or review has been accomplished. This record would define the findings of the review or audit and any corrective action to be taken. **For the sake of brevity this checklist does not call out a separate record for each review or audit. All procedures should be reviewed but the checklist does not call out a review for each procedure, unless the standard calls out the procedure review.** In this checklist “manuals, reports, scripts and specifications” are included in the document category. When the subject technical report references another standard for physical evidence, the checklist does not call out the requirements of the referenced standard.

The Author has carefully reviewed the document “ISO/IEC TR 90006:2013 Guidelines for the application of ISO 9001:2008 to IT service management and its integration with ISO/IEC 20000-1:2011 ” and defined the physical evidence required based upon this classification scheme. SEPT has conducted a second review of the complete list to ensure that the documents’ producers did not leave out a physical piece of evidence that a “reasonable person” would expect to find. It could certainly be argued that if the document did not call it out then it is not required; however if the standard was used by an organization to improve its process, then it would make sense to recognize missing documents. Therefore, there are documents specified in this checklist that are implied by the standard, though not specifically called out in the document, and they are designated by an asterisk (*) throughout this checklist. If a document is called out more than one time, only the first reference is stipulated.

There are occasional situations in which a procedure or document is not necessarily separate and could be contained within another document. For example, the "Design and Development Verification Plan" could be a part of the "Design and Development Plan". The Author has called out these individual items separately to ensure that the organization does not overlook any facet of physical evidence. If the organization does not require a separate document, and an item can be a subset of another document or record, then this fact should be denoted in the detail section of the checklist for that item. This should be done in the form of a statement reflecting that the information for this document may be found in section XX of Document XYZ. If the organizational requirements do not call for this physical evidence for a particular project, this should also be denoted with a statement reflecting that this physical evidence is not required and why. The reasons for the evidence not being required should be clearly presented in this statement. Further details on this step are provided in the Detail Steps section of the introduction. The size of these documents could vary from paragraphs to volumes depending upon the size and complexity of the project or business requirements.

Revision History

Original edition: Checklist for ISO/IEC TR 90006:2013 Guidelines for the application of ISO 9001:2008 to IT service management and its integration with ISO/IEC 20000-1:2011

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General Principles of the ISO/IEC TR 90006:2013 Guidelines for the application of ISO 9001:2008 to IT service management and its integration with ISO/IEC 20000-1:2011

Checklist

This checklist was prepared by analyzing each clause of this document for the key words that signify a:

- Policy
- Procedure
- Plan
- Records
- Document (Including Manuals, Reports, and Specifications)
- Audit
- Review

This checklist specifies evidence that is unique. After reviewing the completed document, the second review was conducted from a common sense “reasonable man” approach. If a document or other piece of evidence appeared to be required, but was not called out in the document, then it is added with an asterisk (*) after its notation in the checklist. The information was transferred into checklist tables, based on the type of product or evidence. Required items are denoted by an underline to aid use of the checklist.

The base document ISO 9001:2008 uses the term Quality Management System. For simplification in this checklist we refer to a Quality Management System as the Service Management System in any item requirements, since this is the term used in ISO//IEC 20000-1.

Using the Checklist

When a company is planning to use "ISO/IEC TR 90006:2013" technical report, the company should review the evidence checklist. If the company’s present process does not address an ISO/IEC TR 90006:2013 service or product, then this question should be asked: Is the evidence service or product required for the type of business of the company? If in the view of the company the evidence is not required, the rationale should be documented and inserted in the checklist and quality manual. This rationale should pass “*the reasonable person rule.*” If the evidence is required, plans should be prepared to address the missing item(s).

Detail Steps

An organization should compare the proposed output of their organization against the checklist. In doing this, they will find one of five conditions that exist for each item listed in the checklist. The following five conditions and the actions required by these conditions are listed in the table below.

Condition	Action Required
The title of the documented evidence specified by the checklist (document, plan, etc.) <i>agrees</i> with the title of the evidence being planned by the organization.	Record in checklist that the organization is compliant.
The title of the documented evidence specified by the checklist (document, etc.) <i>disagrees</i> with the title of the evidence planned by the organization but the content is the same.	Record in the checklist the evidence title the organization uses and record that the organization is compliant, and the evidence is the same although the title is different.
The title of the documented evidence specified by the checklist (document, etc.) is <i>combined</i> with another piece of evidence.	Record in the checklist the title of the evidence (document, etc.) in which this information is contained.
The title of the documented evidence specified by the checklist (document, etc.) <i>is not planned</i> by the organization because it is not required.	Record in the checklist that the evidence is not required and the rationale for this decision.
The title of the documented evidence called out by the checklist (document, etc.) <i>is not planned</i> by the organization and <i>should be</i> planned by it.	Record in the checklist when this evidence will be planned and reference a plan for accomplishing the task.

Components of the Checklist

This checklist is composed of 9 sections:

- Section 1. Introduction
- Section 2. Composites of all required and suggested “ISO/IEC TR 90006:2013” evidence products. This is split in two sections:
 - Sub-Section 2a - Required and suggested items from ISO/IEC TR 90006 related to ISO 9001
 - Sub-Section 2b - Required and suggested items from ISO/IEC TR 90006 related to ISO/IEC 20000-1 that does not appear in ISO 9001 but pertinent to Service Management.
- Sections 3-8. Individual checklists for each evidence type. These sections are split into sub-sections a and b as per section 2 above.
- Section 9. “About the Author”

Product Support

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All reasonable questions concerning this checklist or its use will be addressed free of charge for 60 days from time of purchase, up to a maximum of 4 hours consultation time.

Warranties and Liability

Software Engineering Process Technology (SEPT) makes no warranties implied or stated with respect to this checklist, and it is provided on an “*as is*” basis. SEPT will have no liability for any indirect, incidental, special or consequential damages or any loss of revenue or profits arising under, or with respect to the use of this document.

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Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name		Policies and Procedures	Plans	Records	Documents	Audits and Reviews
4 Quality management system						
4.1	General requirements	• <i>Improvement Prioritization Document Procedure 4.5.5.2*</i> • <i>Other Parties Process Improvement Procedure 4.2*</i> • <i>Other Parties Service Management Process Document Procedure 4.2*</i> • <i>Outsourcing Control Document Procedure*</i> • <i>Outsourcing Plan Procedure*</i> • <i>Outsourcing Procedure</i> • <i>Service Design Procedure 4.5.2*</i> • <i>Service Level Management Procedure 4.2*</i>	• <i>Outsourcing Plan</i> • <i>Service Management System Improvement Plan</i> • <i>Service Management Communication Plan 4.1.1*</i> • <i>Service Management Plan 4.1.1*</i> • <i>Service Management Resource Plan 4.1.1*</i> • <i>Service Location Plan 4.5.1*</i> • <i>Service Management System Internal Audit Plan 4.5.4*</i> • <i>Service Management System Management Reviews Plan 4.5.4*</i>	• <i>Service Management System Audit Records 4.5.4*</i> • <i>Service Management System Management Reviews Records 4.5.4*</i> • <i>Service Management System Nonconformity Records 4.5.4*</i>	• <i>Improvement Prioritization Document 4.5.5.2*</i> • <i>Other Parties Service Management Process Document 4.2*</i> • <i>Outsourcing Control Document*</i> • <i>Service Limitation Document 4.5.2*</i> • <i>Service Management Scope and Objectives Document 4.1.1*</i> • <i>Service Management System Audit Report Document 4.5.4*</i> • <i>Service Management System Contract Document 4.5.2*</i>	• <i>Improvement Prioritization Document Review 4.5.5.2*</i> • <i>Other Parties Service Management Process Document Review 4.2*</i> • <i>Outsourcing Control Document Review*</i> • <i>Outsourcing Plan Review*</i> • <i>Outsourcing Reviews*</i> • <i>Service Limitation Document Review 4.5.2*</i> • <i>Service Location Plan Review 4.5.1*</i> • <i>Service Management Communication Plan Review 4.1.1*</i>

* Suggested item
11/9/2019

Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001

Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name	Policies and Procedures	Plans	Records	Documents	Audits and Reviews
4.1	General requirements (Cont. 1)	• <i>Service Limitation Document Procedure 4.5.2*</i> • <i>Service Location Plan Procedure 4.5.1*</i> • <i>Service Management Communication Plan Procedure 4.1.1*</i> • <i>Service Management Improvement Measurement Procedure 4.5.5.2*</i> • <i>Service Management Plan Procedure 4.1.1*</i> • <i>Service Management Resource Plan Procedure 4.1.1*</i> • <i>Service Management Scope and Objectives Document Procedure 4.1.1*</i>	• <i>Service Technology Plan 4.5.1*</i>	• Service Management System Document • Service Management System Human, Technical Information and Financial Resources Document 4.4.1* • Service Management System Processes Used Document • Service Management System Risk Document 4.1.1* • Service Requirements Document 4.5.2*	• <i>Service Management Plan Review 4.1.1*</i> • <i>Service Management Resource Plan Review 4.1.1*</i> • <i>Service Management Scope and Objectives Document Review 4.1.1*</i> • <i>Service Management System Contract Document Review 4.5.2*</i> • <i>Service Management System Document Review</i>

* Suggested item
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Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001

Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name	Policies and Procedures	Plans	Records	Documents	Audits and Reviews
4.1 General requirements (Cont. 2)	• <i>Service Management Statutory, Regulatory, and Contractual Requirement Policy 4.1.1*</i> • <i>Service Management System Audit Procedure 4.5.2*</i> • <i>Service Management System Contract Document Procedure 4.5.2*</i> • <i>Service Management System Document Procedure*</i>				• <i>Service Management System Human, Technical Information and Financial Resources Document Reviews 4.4.1*</i> • <i>Service Management System Improvement Plan Review*</i> • <i>Service Management System Internal Audit Plan Review 4.5.4*</i> • <i>Service Management System Internal Audits 4.5.4</i> • <i>Service Management System Management Reviews 4.5.4*</i>

* Suggested item
11/9/2019

Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001

Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name	Policies and Procedures	Plans	Records	Documents	Audits and Reviews
4.1 General requirements (Cont. 3)	• <i>Service Management System Human, Technical Information and Financial Resources Document Procedure 4.4.1*</i> • <i>Service Management System Improvement Plan Procedure*</i> • <i>Service Management System Improvement Procedure 4.5.2*</i> • <i>Service Management System Improvement Reporting Procedure 4.5.5.2*</i> • <i>Service Management System Internal Audit Plan Procedure 4.5.4*</i>				• <i>Service Management System Processes Used Document Review</i> • <i>Service Management System Reviews 4.1.1*</i> • <i>Service Management System Risk Document Review 4.1.1*</i> • <i>Service Requirements Document Review 4.5.2*</i> • <i>Service Technology Plan Review 4.5.1*</i>

* Suggested item
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Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001

Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name	Policies and Procedures	Plans	Records	Documents	Audits and Reviews
4.1 General requirements (Cont. 4)	• <i>Service Management System Internal Audits Procedure 4.5.4*</i> • <i>Service Management System Management Reviews Plan Procedure 4.5.4*</i> • <i>Service Management System Measurement Procedure 4.5.2*</i> • <i>Service Management System Performance Monitoring Procedure 4.5.3*</i> • <i>Service Management System Performance Reporting Procedure 4.5.3*</i>				

* Suggested item
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Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001

Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name	Policies and Procedures	Plans	Records	Documents	Audits and Reviews
4.1 General requirements (Cont. 5)	• <i>Service Management System Plan Implementing and Operation Procedure 4.5.3*</i> • Service Management System Policy 4.1.1* • <i>Service Management System Process Management Procedure 4.5.3</i> • Service Management System Processes Used Document Procedure* • <i>Service Management System Funds and Allocation Procedure 4.5.3*</i> • <i>Service Management System Reporting Procedure 4.5.2*</i>				

* Suggested item
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Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001

Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name		Policies and Procedures	Plans	Records	Documents	Audits and Reviews
4.1	General requirements (Cont. 6)	• <i>Service Management System Revision Procedure 4.5.5.2*</i> • <i>Service Management System Risk Document Procedure 4.1.1*</i> • <i>Service Requirement Document Procedure 4.5.2*</i> • <i>Service Technology Plan Procedure 4.5.1*</i> • <i>Service Transition Procedure 4.5.2*</i> • <i>Supplier Management Procedure 4.2*</i>				
4.2	Documentation requirements					

* Suggested item
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Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001

Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name		Policies and Procedures	Plans	Records	Documents	Audits and Reviews
4.2.1	General	- Documentation Plan Procedure* - List of Control Documents Procedure* - List of Documented Procedures Document Procedure* - List of Operation Documents Procedure* - List of Planning Documents Procedure* <i>Service Level Agreement Document Procedure 4.3.1*</i> <i>Service Management System Documentation Procedure 4.3.1*</i> <i>Service Management System External Documents Procedure 4.3.1*</i>	Documentation Plan	(All) Service Management System Records <i>Service Management System Records 4.3.1*</i>	- List of Control Documents - List of Documented Procedures Document - List of Operation Documents - List of Planning Documents <i>Service Level Agreement Document 4.3.1*</i> <i>Service Management System Documentation 4.3.1*</i> <i>Service Management System External Documents 4.3.1*</i> - Service Manual Document - Service Objective Document <i>Services Catalogue Document 4.3.1*</i>	- Documentation Plan Review* - List of Control Documents Review* - List of Documented Procedures Document Review* - List of Operation Documents Review* - List of Planning Documents Review* <i>Service Level Agreement Document Review 4.3.1*</i> <i>Service Management System Documentation Review 4.3.1*</i> <i>Service Management System External Documents Review 4.3.1*</i>

* Suggested item
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Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001

Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name		Policies and Procedures	Plans	Records	Documents	Audits and Reviews
4.2.1	General (Cont. 1)	• <i>Service Management System Procedures 4.3.1</i> • Service Manual Document Procedure* • Service Objective Document Procedure* • Service Policy • <i>Service Catalogue Document Procedure 4.3.1*</i>				• Service Manual Document Review* • Service Objective Document Review* • <i>Services Catalogue Document Review 4.3.1*</i>
4.2.2	Quality manual	• Process Interaction Description Document Procedure*			• Process Interaction Description Document	• Process Interaction Description Document Review*

* Suggested item
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Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name		Policies and Procedures	Plans	Records	Documents	Audits and Reviews
4.2.3	Control of documents	• <i>Change Document Procedure 4.3.2*</i> • Document Control Procedure • <i>External Document Control Procedure 4.3.2*</i> • <i>Service Management System Documentation Control Procedure 4.3.2*</i>				• Document Control Procedure Review*
4.2.4	Control of records	• Record Management Plan Procedure* • Record Management Procedure	• Record Management Plan	• <i>Service Management Plan System Document Control Records 4.3.3*</i>		• Record Management Plan Review* • Record Management Review
5 Management responsibility						
5.1	Management commitment	• Top Management Responsibility and Authority Document Procedure*			• Top Management Responsibility and Authority Document	• Top Management Responsibility and Authority Document Review*

* Suggested item
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Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001

Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name	Policies and Procedures	Plans	Records	Documents	Audits and Reviews
5.2 Customer focus	• <i>Asset Management Procedure 4.1.4*</i> • <i>Customer Interaction Plan Procedure*</i> • <i>Management Representative Appointment Document Procedure 4.1.4*</i> • <i>Management Representative Report Document Procedure 4.1.4*</i> • <i>Service Management Process Integration Procedure 4.1.4*</i> • <i>Service Management Task Assignment Procedure 4.1.4*</i>	• Customer Interaction Plan	• <i>Customer Satisfaction Review Records 4.1.4*</i> • <i>Performance and Improvement Service Management System Records 4.1.4*</i> • <i>Service Fulfillment Review Records 4.1.4*</i>	• <i>Management Representative Appointment Document 4.1.4*</i> • <i>Management Representative Report Document 4.1.4*</i>	• Customer Interaction Plan Review* • <i>Management Representative Appointment Document Review 4.1.4*</i> • <i>Management Representative Report Document Review 4.1.4*</i>
5.3 Quality policy	• <i>Continual Improvement for the Service Management System Policy 4.1.2*</i>				• <i>Service Management System Improvement Policy Review 4.1.2*</i>

* Suggested item
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Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001

Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name	Policies and Procedures	Plans	Records	Documents	Audits and Reviews
5.4 Planning					
5.4.1 Quality objectives					
5.4.2 Quality management system planning	Service Management System Plan Procedure*	Service Management System Plan			Service Management System Plan Review*
5.5 Responsibility, authority and communication					
5.5.1 Responsibility and authority	<i>Communication of Service Management System Procedure 4.1.3*</i> - Responsibilities and Authorities Document Procedure* <i>Service Management System Authorities and Responsibilities Document Procedure 4.1.3*</i>			- Responsibilities and Authorities Document <i>Service Management System Authorities and Responsibilities Document 4.1.3*</i>	- Responsibilities and Authorities Document Review* <i>Service Management System Authorities and Responsibilities Document Review 4.1.3*</i>
5.5.2 Management representative			Management Representative Record		
5.5.3 Internal communication	Internal Communication Plan Procedure*	Internal Communication Plan			Internal Communication Plan Review*

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Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001

Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name		Policies and Procedures	Plans	Records	Documents	Audits and Reviews
5.6	Management review					
5.6.1	General					Service Management System Management Review
5.6.2	Review input			Service Management System Management Review Records		
5.6.3	Review output	Management Review Document Procedure*			Management Review Document	Management Review Document Review*
6 Resource management						
6.1	Provision of resources	Resource Management Plan Procedure*	Resource Management Plan			Resource Management Plan Review*

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Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name		Policies and Procedures	Plans	Records	Documents	Audits and Reviews
6.2	Human resources	- Human Resource Plan Procedure* - Human Resource Procedure <i>Service Management System Education, Training, Skills and Experience Document Procedure 4.4.2*</i> - Training Plan Procedure*	- Human Resource Plan - Training Plan	<i>Evaluation of Service Management System Competence Records 4.4.2*</i> <i>Service Management System Education, Training, Skills and Experience Records 4.4.2*</i>	<i>Service Management System Education, Training, Skills and Experience Document 4.4.2*</i>	- Competence, Awareness and Training Review - Human Resource Plan Review* <i>Service Management System Education, Training, Skills and Experience Document Review 4.4.2*</i> - Training Plan Review*
6.2.1	General					
6.2.2	Competence, training and awareness			- Education Records - Skills and Experience Records - Training Records		
6.3	Infrastructure	- Infrastructure Plan Procedure* - Infrastructure Procedure	Infrastructure Plan			Infrastructure Plan Review*
6.4	Work environment	Work Environment Plan Procedure*	Work Environment Plan			Work Environment Plan Review*

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Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001

Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name	Policies and Procedures	Plans	Records	Documents	Audits and Reviews
7 Product realization					

* Suggested item
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Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001.

Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name	Policies and Procedures	Plans	Records	Documents	Audits and Reviews
7.1 Planning of product realization	• <i>Change Management Policy 5.1*</i> • <i>Change Management Procedure 5.1*</i> • <i>Configuration Management Procedure 5.1*</i> • <i>Financial Organization and Technology Input to the New or Change Service Document Procedure 5.2*</i> • <i>New or Change Service Plan Procedure 5.2*</i> • <i>New or Changed Services Planning and Design Output Document Procedure 5.1*</i> • <i>Product Realization Plan Procedure*</i>	• <i>New or Change Service for the Service Management System Plan 5.2*</i> • <i>Product Realization Plan</i>	• <i>Others Parties Evaluation Records 5.2*</i> • <i>Product Realization Records</i> • <i>Realization Process Records</i>	• <i>Financial Organization and Technology Input to the New or Change Service Document 5.2*</i> • <i>New or Changed Services Planning and Design Output Document 5.1*</i> • <i>Service Requirement Agreement Document 5.1*</i>	• <i>Financial Organization and Technology Input to the New or Change Service Document Review 5.2*</i> • <i>New or Change Service for the Service Management System Plan Review 5.2*</i> • <i>New or Changed Services Planning and Design Output Document Review 5.1*</i> • <i>New or Changed Services Planning and Design Output Document Review 5.1*</i> • <i>Other Parties Evaluation Review 5.2*</i> • <i>Product Realization Plan Review*</i>

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Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001

Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name		Policies and Procedures	Plans	Records	Documents	Audits and Reviews
7.1	Planning of product realization (Cont. 1)	<i>Service Requirement Agreement Document Procedure 5.1*</i>				<i>Service Requirement Agreement Document Review 5.1*</i>
7.2	Customer-related processes					

* Suggested item
11/9/2019

Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001.

Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name	Policies and Procedures	Plans	Records	Documents	Audits and Reviews
7.2.1 Determination of requirements related to the product	• <i>Business Relationship Management Procedure 7.1*</i> • <i>Identification of All Business Relationship Parties Document Procedure 7.1*</i> • <i>ISO 9001 Design and Development Required Procedure 5.3*</i> • <i>ISO/IEC 15288 Architectural Design Required Procedure 5.3*</i> • <i>New or Change Service Design and Development Procedure 5.3*</i> • <i>Product Requirements Specification Document Procedure*</i>	• <i>ISO/IEC 15288 Architectural Design Required Plans 5.3*</i> • <i>Service Performance Reviews With Customer Plan 7.1*</i>	• <i>Customer Satisfaction Improvement Records 7.1*</i> • <i>ISO/IEC 15288 Architectural Design Required Records 5.3*</i> • <i>Service Complaints Records 7.1*</i>	• <i>Identification of All Business Relationship Parties Document 7.1*</i> • <i>ISO/IEC 15288 Architectural Design Required Documents 5.3*</i> • <i>New or Change Service Design and Development Document 5.3*</i> • <i>Product Requirements Specification Document</i> • <i>Service Acceptance Criteria Document 5.3*</i> • <i>Updated Service Catalogue Document 5.3*</i>	• <i>Identification of All Business Relationship Parties Document Review 7.1*</i> • ISO/IEC 15288 Architectural Design Required Audits 5.3* • <i>ISO/IEC 15288 Architectural Design Required Reviews 5.3*</i> • <i>New or Change Service Design and Development Document Review 5.3*</i> • <i>Service Acceptance Criteria Document Review 5.3*</i> • <i>Service Performance Reviews With Customer Plan Review 7.1*</i>

* Suggested item
11/9/2019

Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001

Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name		Policies and Procedures	Plans	Records	Documents	Audits and Reviews
7.2.1	Determination of requirements related to the product (Cont.1)	• <i>Service Acceptance Criteria Document Procedure 5.3*</i> • <i>Service Complaints Procedure 7.1*</i> • <i>Service Measurement Procedure 5.3*</i> • <i>Service Measurement Procedure 5.3*</i> • <i>Service Performance Reviews With Customer Plan Procedure 7.1*</i> • <i>Updated Service Catalogue Document Procedure 5.3*</i>				• <i>Service Performance With Customer Review 7.1*</i> • <i>Updated Service Catalogue Document Review 5.3*</i>

* Suggested item
11/9/2019

Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001

Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name	Policies and Procedures	Plans	Records	Documents	Audits and Reviews
7.2.2 Review of requirements related to the product	• <i>Approved Change Schedule Document Procedure 9.2*</i> • <i>Change Management Improvement Plan Procedure 9.2*</i> • <i>Change Request Document Procedure 9.2*</i> • <i>Emergency Change Procedure 9.2*</i> • <i>Release Deployment Plan Procedure 9.2*</i> • <i>Requirement Changes Document Procedure*</i> • <i>Unsuccessful Change Reversal Plan Procedure 9.2*</i>	• <i>Change Management Improvement Plan 9.2*</i> • <i>Release Deployment Plan 9.2*</i> • <i>Unsuccessful Change Reversal Plan 9.2*</i>	• <i>Change Management Records 9.2*</i> • <i>Change Request Trend Analysis Records 9.2*</i> • <i>Requirements Review and Actions Records</i>	• <i>Approved Change Schedule Document 9.2*</i> • <i>Change Request Document 9.2*</i> • <i>Product Requirements Specification Document 9.2*</i> • <i>Requirement Changes Document 9.2*</i>	• <i>Approved Change Schedule Document Review 9.2*</i> • <i>Change Management Improvement Plan Review 9.2*</i> • <i>Change Request Document Review 9.2*</i> • <i>Change Request Trend Analysis Review 9.2*</i> • <i>Product Requirements Specification Document Review*</i> • <i>Release Deployment Plan Review 9.2*</i> • <i>Requirement Changes Document Review*</i> • <i>Unsuccessful Change Reversal Plan Review 9.2*</i>

* Suggested item
11/9/2019

Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001

Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name		Policies and Procedures	Plans	Records	Documents	Audits and Reviews
7.2.3	Customer communication	• Customer Communication Plan Procedure* • <i>Service Continuity Plan Procedure 6.2*</i> • <i>Service Reporting Procedure 6.2*</i> • <i>Service Reports Documents Procedure 6.2*</i>	• Customer Communication Plan	• Customer Communication Records • <i>Customer Satisfaction Records 6.2*</i> • <i>Major Incident Records 6.2*</i> • <i>Service Complaint Records 6.2*</i>	• <i>Service and Service Component Dependencies Document 6.1*</i> • <i>Service Reports Documents 6.2*</i> • <i>Service Target Document 6.1*</i>	• <i>Catalog of Services Document Review 6.1*</i> • Customer Communication Plan Review* • <i>Service and Service Component Dependencies Document Review 6.1*</i> • <i>Service Continuity Plan Review 6.2*</i> • <i>Service Level Agreement Review 6.1*</i> • <i>Service Level Agreement Review Plan Review 6.1*</i> • <i>Service Level Management Performance Reviews 6.1*</i> • <i>Service Reports Documents Review 6.2*</i>

* Suggested item
11/9/2019

Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001

Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name		Policies and Procedures	Plans	Records	Documents	Audits and Reviews
7.2.3	Customer communication (Cont. 1)					• <i>Service Target Document Review 6.1*</i>
7.3	Design and development					
7.3.1	Design and development planning	• Design and Development Plan Procedure* • Design and Development Review Plan Procedure* • Design and Development Stages Document Procedure* • Design and Development Validation Plan Procedure* • Design and Development Verification Plan Procedure*	• Design and Development Plan • Design and Development Review Plan • Design and Development Validation Plan • Design and Development Verification Plan		• Design and Development Stages Document	• Design and Development Stages Document Review* • Design and Development Plan Review* • Design and Development Review Plan Review* • Design and Development Validation Plan Review* • Design and Development Verification Plan Review*

* Suggested item
11/9/2019

Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001

Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name		Policies and Procedures	Plans	Records	Documents	Audits and Reviews
7.3.2	Design and development inputs	- Product Functional and Performance Document Procedure* - Statutory and Regulation Requirement Document Procedure*		Design and Development Input Records	- Product Functional and Performance Document - Statutory and Regulation Requirement Document	- Design and Development Input Adequacy Review - Product Functional and Performance Document Review* - Statutory and Regulation Requirement Document Review*
7.3.3	Design and development outputs	Design and Development Document Procedure*			Design and Development Document	Design and Development Document Review*
7.3.4	Design and development review			Design and Development Review Records		Design and Development Review

* Suggested item
11/9/2019

Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001

Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name	Policies and Procedures	Plans	Records	Documents	Audits and Reviews
7.3.5 Design and development verification	• <i>Design and Development of a New or Changed Services Test Document Procedure 5.4*</i> • <i>Design and Development of a New or Changed Services Verification Document Procedure 5.4*</i> • <i>Emergency Release and Deployment Change Procedure 9.3*</i> • <i>Emergency Release and Deployment Procedure 9.3*</i> • <i>Emergency Release Document Procedure 9.3*</i>	• <i>Release and Deployment Acceptance Criteria Document Plan 9.3*</i> • <i>Release and Deployment Improvement Plan 9.3*</i> • <i>Release and Deployment New or Changed Service Plan 9.3*</i> • <i>Unsuccessful Release and Deployment Plan 9.3*</i>	• <i>Design and Development of a New or Changed Services Outcome Records 5.4*</i> • <i>Design and Development Verification Records</i> • <i>Release and Deployment Records 9.3*</i> • <i>Release and Deployment Test Records 9.3*</i>	• <i>Design and Development of a New or Changed Services System Test Document 5.4*</i> • <i>Design and Development of a New or Changed Services Verification Document 5.4*</i> • <i>Emergency Release Document 9.3*</i> • <i>Release and Deployment Acceptance Criteria Document 9.3*</i>	• <i>Design and Development of a New or Changed Services Test Document Review 5.4*</i> • <i>Design and Development of a New or Changed Services Verification Document Review 5.4*</i> • <i>Emergency Release Document Review 9.3*</i> • <i>Release and Deployment Acceptance Criteria Document Review 9.3*</i> • <i>Release and Deployment Improvement Plan Review 9.3*</i>

* Suggested item
11/9/2019

Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001

Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name	Policies and Procedures	Plans	Records	Documents	Audits and Reviews
7.3.5 Design and development verification (Cont. 1)	• <i>Release and Deployment Acceptance Criteria Document Plan Procedure 9.3*</i> • <i>Release and Deployment Acceptance Criteria Document Procedure 9.3*</i> • <i>Release and Deployment Improvement Plan Procedure 9.3*</i> • <i>Release and Deployment Management Procedure 5.4*</i> • <i>Release and Deployment New or Changed Service Plan Procedure 9.3*</i> • Release and Deployment Policy 9.3*				• <i>Release and Deployment New or Changed Service Plan Review 9.3*</i> • <i>Unsuccessful Release and Deployment Plan Review 9.3*</i> • <i>Release and Deployment Acceptance Criteria Document Plan Review 9.3*</i>

* Suggested item
11/9/2019

Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001

Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name	Policies and Procedures	Plans	Records	Documents	Audits and Reviews
7.3.5 Design and development verification (Cont. 2)	• <i>Release and Deployment Procedure 9.3*</i> • <i>Release and Deployment Test Procedure 9.3*</i> • <i>Unsuccessful Release and Deployment Plan Procedure 9.3*</i>				
7.3.6 Design and development validation			• Design and Development Validation Records		
7.3.7 Control of design and development changes	• Design and Development Change Management Plan Procedure* • <i>Release Deployment Procedure 9.2*</i> • <i>Unsuccessful Change Reversal Procedure 9.2*</i>	• Design and Development Change Management Plan • <i>Release Deployment Plan 9.2*</i> • <i>Unsuccessful Change Reversal Plan 9.2*</i>	• Design and Development Change Records		• Design and Development Change Management Plan Review* • Design and Development Change Review • <i>Release Deployment Plan Review 9.2*</i> • <i>Unsuccessful Change Reversal Plan Review 9.2*</i>
7.4 Purchasing					

* Suggested item
11/9/2019

Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001

Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name		Policies and Procedures	Plans	Records	Documents	Audits and Reviews
7.4.1	Purchasing process	• Purchasing Plan Procedure* • <i>Selection of Supplier and the Procurement of Services Procedure 7.2*</i> • <i>Service Provider and the Supplier Contract Disputes Procedure 7.2*</i> • <i>Supplier Change Management Procedure 7.2*</i> • <i>Supplier Contract Document Procedure 7.2*</i> • <i>Supplier Contract Termination Procedure 7.2*</i> • <i>Supplier Management Designated Individual Document Procedure 7.2*</i>	• Purchasing Plan*	• Supplier Evaluation Records • <i>Supplier Nonconformity Records 7.2*</i> • <i>Supplier Opportunity for Improvement Record 7.2*</i>	• <i>Supplier Contract Document 7.2*</i> • <i>Supplier Management Designated Individual Document 7.2*</i> • <i>Supplier Service Level Document 7.2*</i>	• Purchasing Plan Review* • <i>Supplier Contract Document Review 7.2*</i> • <i>Supplier Management Designated Individual Document Review 7.2*</i> • <i>Supplier Performance Reviews 7.2*</i> • <i>Supplier Service Level Document Review 7.2*</i>

* Suggested item
11/9/2019

Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001

Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name		Policies and Procedures	Plans	Records	Documents	Audits and Reviews
7.4.1	Purchasing process (Cont. 1)	Supplier Service Level Document Procedure 7.2*				
7.4.2	Purchasing information	Purchasing Product Information Document Procedure*			Purchasing Product Information Document	Purchasing Product Information Document Review
7.4.3	Verification of purchased product	Purchased Product Inspection Plan Procedure*	Purchased Product Inspection Plan			Purchased Product Inspection Plan Review*
7.5	Production and service provision					
7.5.1	Control of production and service provision	- Production Plan Procedure* - Service Provision Plan Procedure*	- Production Plan* - Service Provision Plan*			- Production Plan Review* - Service Provision Plan Review*
7.5.2	Validation of processes for production and service provision	Production and Service Provision Process Validation Plan Procedure*	Production and Service Provision Process Validation Plan	Production and Service Provision Process Validation Records		Production and Service Provision Process Validation Plan Review*

* Suggested item
11/9/2019

Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001

Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name	Policies and Procedures	Plans	Records	Documents	Audits and Reviews
7.5.3 Identification and traceability	• <i>Configuration Control Document Procedure 9.1*</i> • <i>Configuration Item Document Procedure 9.1*</i> • <i>Configuration Management (All Types) Procedure 9.1*</i> • <i>Configuration Management and Financial Asset Management Process Interface Document Procedure 9.1*</i> • <i>Configuration Management Base Line Document Procedure 9.1*</i> • <i>Product Identification and Traceability Plan Procedure*</i>	• Product Identification and Traceability Plan	• <i>Configuration Management Item Data Base Audit Records 9.1*</i> • <i>Configuration MDB Records 9.1*</i> • Product Identification and Traceability Records	• <i>Configuration Control Document 9.1*</i> • <i>Configuration Item Document 9.1*</i> • <i>Configuration Management and Financial Asset Management Process Interface Document 9.1*</i> • <i>Configuration Management Base Line Document 9.1*</i>	• <i>Configuration Control Document Review 9.1*</i> • <i>Configuration Item Document Review 9.1*</i> • <i>Configuration Management and Financial Asset Management Process Interface Document Review 9.1*</i> • <i>Configuration Management Base Line Document Review 9.1*</i> • Configuration Management Data Base Audits 9.1* • Product Identification and Traceability Plan Review*

* Suggested item
11/9/2019

Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001

Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name		Policies and Procedures	Plans	Records	Documents	Audits and Reviews
7.5.4	Customer property	Customer Property Management Plan Procedure*	Customer Property Management Plan*	Customer Property Records		Customer Property Management Plan Review*
7.5.5	Preservation of product	Product Preservation During Internal Processing and Delivery Plan Procedure*	Product Preservation During Internal Processing and Delivery Plan*			Product Preservation During Internal Processing and Delivery Plan Review*
7.6	Control of monitoring and measuring equipment	Monitoring and Measurement Equipment Process Plan Procedure*	Monitoring and Measurement Equipment Process Plan	- Calibration Records - Monitoring and Measurement Verification Records		Monitoring and Measurement Equipment Process Plan Review*
8	Measurement, analysis and improvement					

* Suggested item
11/9/2019

Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001

Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name	Policies and Procedures	Plans	Records	Documents	Audits and Reviews
8.1 General	• <i>ISO 9001 Corrective Action Procedure 4.5.5.1*</i> • <i>ISO 9001 Preventive Action Procedure 4.5.5.1*</i> • <i>Maintaining and Improving the Service Management System Policy 4.5.5.1*</i> • <i>Maintaining and Improving the Service Management System Procedure 4.5.5.1*</i> • <i>Management of Improvement for the Service Management System Plan Procedure 4.5.5.1*</i>	• <i>Management of Improvement for the Service Management System Plan 4.5.5.1*</i> • <i>Monitoring, Measurement, Analysis and Improvement Plan*</i>	• <i>ISO 9001 Corrective Action Records 4.5.5.1*</i> • <i>ISO 9001 Preventive Action Records 4.5.5.1*</i>		• <i>Management of Improvement for the Service Management System Plan Review 4.5.5.1*</i> • <i>Monitoring, Measurement, Analysis and Improvement Plan Review*</i>

* Suggested item
11/9/2019

Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001

Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name		Policies and Procedures	Plans	Records	Documents	Audits and Reviews
8.1	General (Cont.1)	Monitoring, Measurement, Analysis and Improvement Plan Procedure*				
8.2	Monitoring and measurement					
8.2.1	Customer satisfaction	Customer Satisfaction (Perception) Measurement Plan Procedure*	Customer Satisfaction (Perception) Measurement Plan*			Customer Satisfaction (Perception) Measurement Plan Review*
8.2.2	Internal audit	- Internal Audit Procedure - Internal Audit Plan Procedure*	Internal Audit Plan	Internal Audit Records		Internal Audit Plan Review*
8.2.3	Monitoring and measurement of processes	Monitoring and Measurement of Service Management System Processes Plan Procedure*	Monitoring and Measurement of Service Management System Processes Plan*			Monitoring and Measurement of Service Management System Processes Plan Review*

* Suggested item
11/9/2019

Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001

Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name		Policies and Procedures	Plans	Records	Documents	Audits and Reviews
8.2.4	Monitoring and measurement of product	Monitoring and Measurement of Product Plan Procedure*	Monitoring and Measurement of Product Plan	- Monitoring and Measurement of Product Records - Product Acceptance and Release Authority (Name) Records - Product Acceptance and Release Records*		Monitoring and Measurement of Product Plan Review*

* Suggested item
11/9/2019

Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001.

Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name	Policies and Procedures	Plans	Records	Documents	Audits and Reviews
8.3 Control of nonconforming product	- Control of Nonconforming Product Plan* - Control of Nonconforming Product Procedure <i>Incident and Service Management Reporting Procedure 8.1*</i> <i>Incidents Management Procedure 8.1*</i> <i>Major Incident Definition Document Procedure 8.1*</i> <i>Major Incident Handling Improvement Plan Procedure 8.1*</i> <i>Major Incident Management Procedure 8.1*</i> <i>Problem Management Improvement Plan Procedure 8.2*</i>	- Control of Nonconforming Product Plan* <i>Major Incident Handling Improvement Plan 8.1*</i> <i>Problem Management Improvement Plan 8.2*</i>	- Nonconforming Product Records <i>Problem Management Change Request Record 8.2*</i> <i>Problem Management Records 8.2*</i> <i>Problem Resolution Records 8.2*</i>	<i>Major Incident Definition Document 8.1*</i> <i>Trend Analysis Report Document 8.2*</i>	- Control of Nonconforming Product Plan Review* <i>Major Incident Definition Document Review 8.1*</i> <i>Major Incident Handling Improvement Plan Review 8.1*</i> <i>Problem Management Improvement Plan Review 8.2*</i> <i>Problem Resolution Reviews 8.2*</i> <i>Trend Analysis Report Document Review 8.2*</i>

* Suggested item
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Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001

Section 2a

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC TR 90006:2013 Clause Number and Name		Policies and Procedures	Plans	Records	Documents	Audits and Reviews
8.3	Control of nonconforming product (Cont.1)	• <i>Problem Management Procedure 8.2*</i> • <i>Service Request Management Procedure 8.1*</i> • <i>Trend Analysis Report Document Procedure 8.2*</i>				
8.4	Analysis of data	• Service Management System Analysis of Data Plan Procedure*	• Service Management System Analysis of Data Plan*			• Service Management System Analysis of Data Plan Review*
8.5	Improvement					
8.5.1	Continual improvement					
8.5.2	Corrective action	• Corrective Action Plan Procedure* • Corrective Action Procedure	• Corrective Action Plan*	• Corrective Action Records		• Corrective Action Plan Review* • Corrective Action Review
8.5.3	Preventive action	• Preventive Action Plan Procedure* • Preventive Action Procedure	• Preventive Action Plan*	• Preventive Action Records		• Preventive Action Plan Review* • Preventive Action Taken Reviews

* Suggested item
11/9/2019

Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001

Section 2b

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC 20000:2012 Clause Number and Name	Policies and Procedures	Plans	Records	Documents	Audits and Reviews
The following items in Section 2b are listed in ISO/IEC TR 90006 as not included in ISO 9001 but included in ISO/IEC 20000-1. Any organization that is working in Service Management should consider whether these items are important for their operational success and include them in their Service Management System. However, they are not required to satisfy ISO 9001 requirements as stated.					
6.0 Resource Management					
6.3.1 <i>Service continuity and availability requirements</i>	• <i>Continuity of Service Risk Assessment Document Procedure*</i> • <i>Service Business Plan Procedure*</i> • <i>Service Continuity and Availability Document Procedure*</i>	• <i>Service Business Plan*</i>	• <i>Service Availability Records*</i> • <i>Service Response Time Records*</i>	• <i>Continuity of Service Risk Assessment Document*</i> • <i>Service Continuity and Availability Document*</i>	• <i>Continuity of Service Risk Assessment Document Review*</i> • <i>Service Business Plan Review*</i> • <i>Service Continuity and Availability Document Review*</i>
6.3.2 <i>Service continuity and availability plans</i>	• <i>Major Loss of Service Procedure*</i> • <i>Service Continuity and Availability Procedure*</i> • <i>Service Continuity and Availability Plan Procedure*</i> • <i>Service Recovery Plan Procedure*</i>	• <i>Service Continuity and Availability Plan*</i> • <i>Service Recovery Plan*</i>			• <i>Service Continuity and Availability Plan Review*</i> • <i>Service Recovery Plan Procedure Review*</i>

* Suggested item
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Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001

Section 2b

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC 20000:2012 Clause Number and Name	Policies and Procedures	Plans	Records	Documents	Audits and Reviews
6.3.3 <i>Service continuity and availability monitoring and testing</i>	• <i>Service Continuity and Availability Testing Document Procedure*</i>		• <i>Service Continuity and Availability Test Records*</i>	• <i>Service Continuity and Availability Testing Document*</i>	• <i>Service Continuity and Availability Review*</i> • <i>Service Continuity and Availability Testing Document Review*</i>
6.4 <i>Budget and accounting for services</i>	• <i>Budget and Accounting For Services Policy*</i> • <i>Budget and Accounting For Services Procedure*</i> • <i>Change Request for Financial Data Procedure*</i> • <i>Financial Control and Approval Procedure*</i> • <i>Service Cost Apportionment Procedure*</i> • <i>Service Cost Report Document Procedure*</i>		• <i>Budget and Accounting For Services Records*</i>	• <i>Service Cost Report Document*</i>	• <i>Budget and Accounting For Services Review</i> • <i>Service Cost Report Document Review*</i>

* Suggested item
11/9/2019

Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001

Section 2b

Checklist for the Application of ISO 9001 with ISO/IEC 20000-1 as defined in ISO/IEC TR 90006:2013

ISO/IEC 20000:2012 Clause Number and Name	Policies and Procedures	Plans	Records	Documents	Audits and Reviews
6.5 <i>Capacity management</i>	• <i>Capacity Management Plan Procedure*</i> • <i>Capacity Management Procedure*</i> • <i>Continuity of Service Risk Assessment Document Procedure*</i> • <i>Meeting Capacity and Performance Requirements Procedure*</i>	• <i>Capacity Management Plan*</i>			• <i>Capacity Management Plan Review*</i> • <i>Capacity Management Review*</i>

* Suggested item
11/9/2019

Items in *Italics* are derived from ISO/IEC 20000-1, all other items from ISO 9001.