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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

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Foreword

ISO (the International Organization for Standardization) and IEC (the International Electrotechnical Commission) form the specialized system for worldwide standardization. National bodies that are members of ISO or IEC participate in the development of International Standards through technical committees established by the respective organization to deal with particular fields of technical activity. ISO and IEC technical committees collaborate in fields of mutual interest. Other international organizations, governmental and non-governmental, in liaison with ISO and IEC, also take part in the work.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular, the different approval criteria needed for the different types of document should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO and IEC shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see www.iso.org/patents) or the IEC list of patent declarations received (see http://patents.iec.ch).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation of the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT), see www.iso.org/iso/foreword.html.

This document was prepared by Joint Technical Committee ISO/IEC JTC 1, *Information technology*, Subcommittee SC 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.

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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.

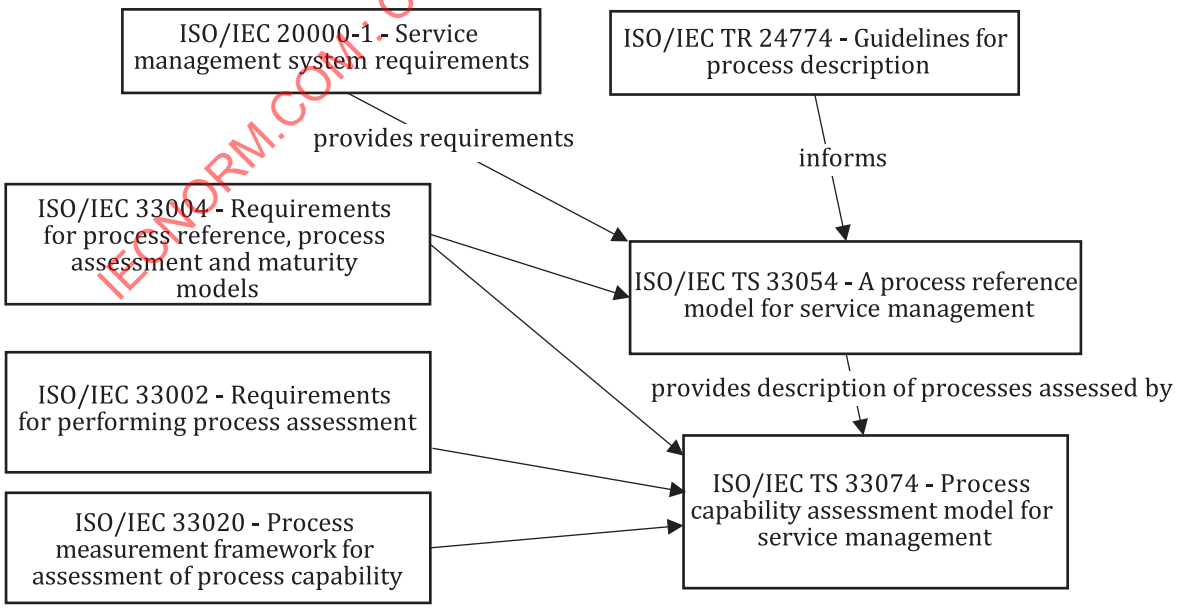

Figure 1 — Relationships between relevant standards

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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.

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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:

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— 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.

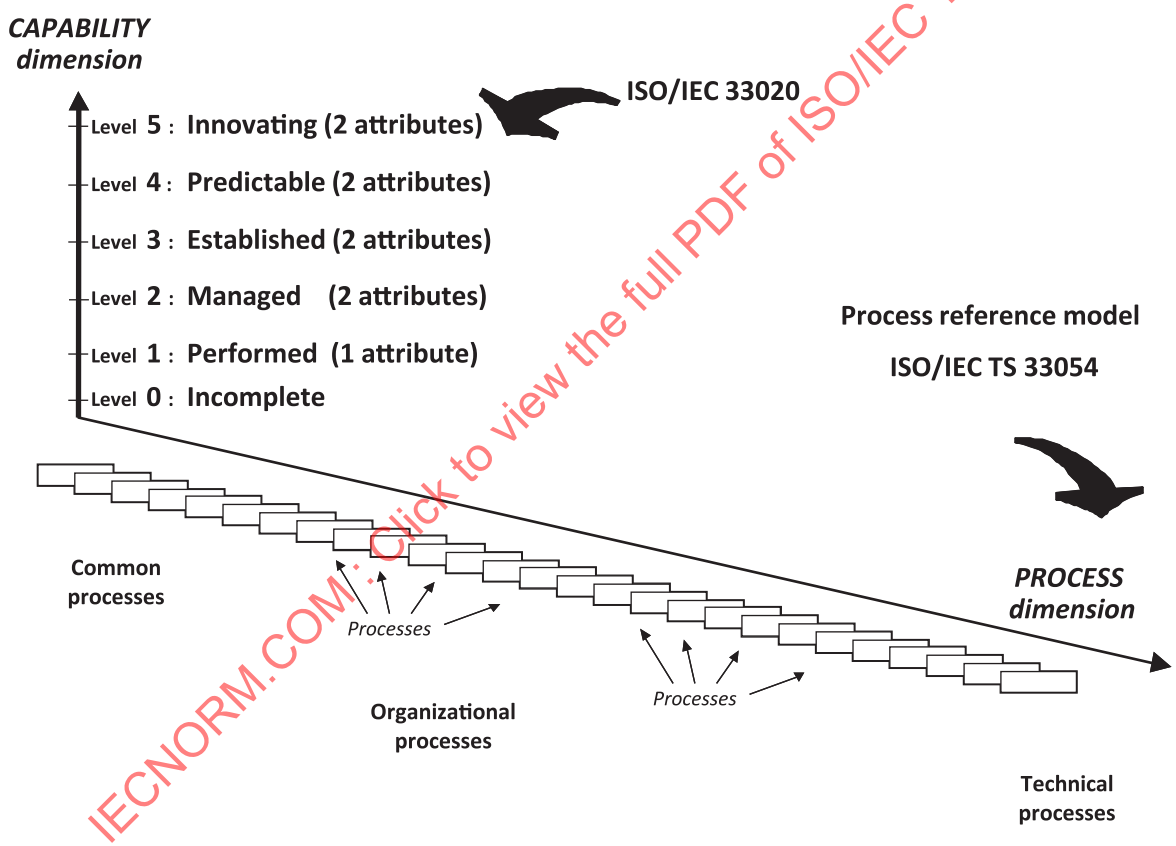

Figure 2 — Relationship between the process assessment model and its inputs

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.

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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.

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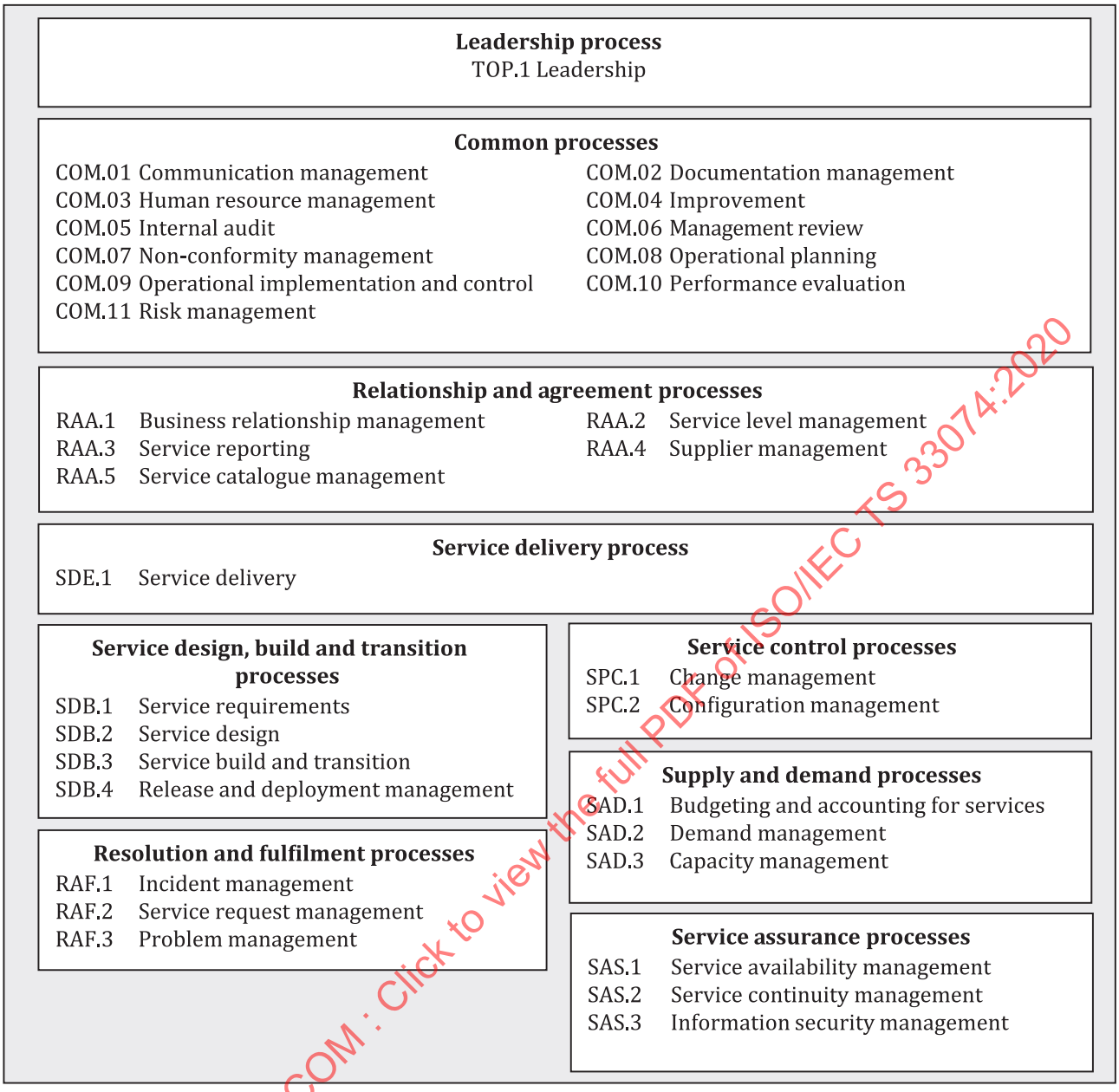

Figure 3 — Processes in the process assessment model

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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.

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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

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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.

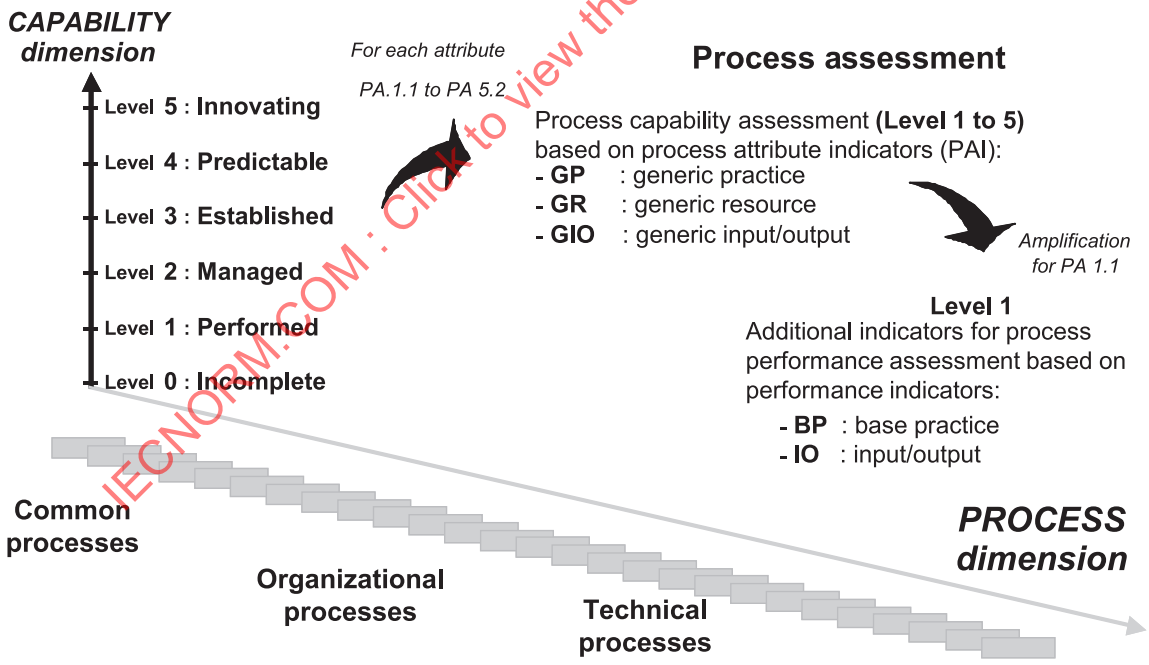

Figure 4 — Assessment indicators

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.

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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.

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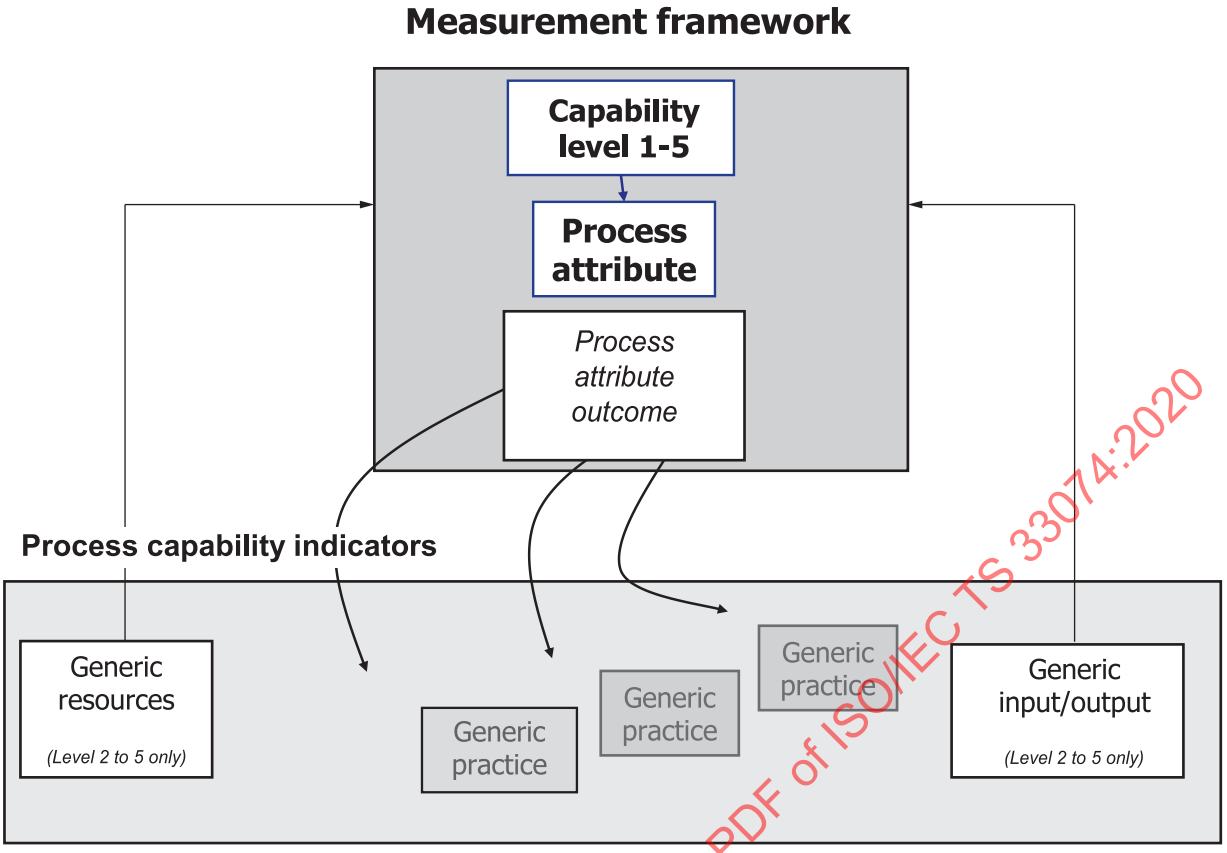

Figure 5 — Process capability indicators

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/

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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

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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.

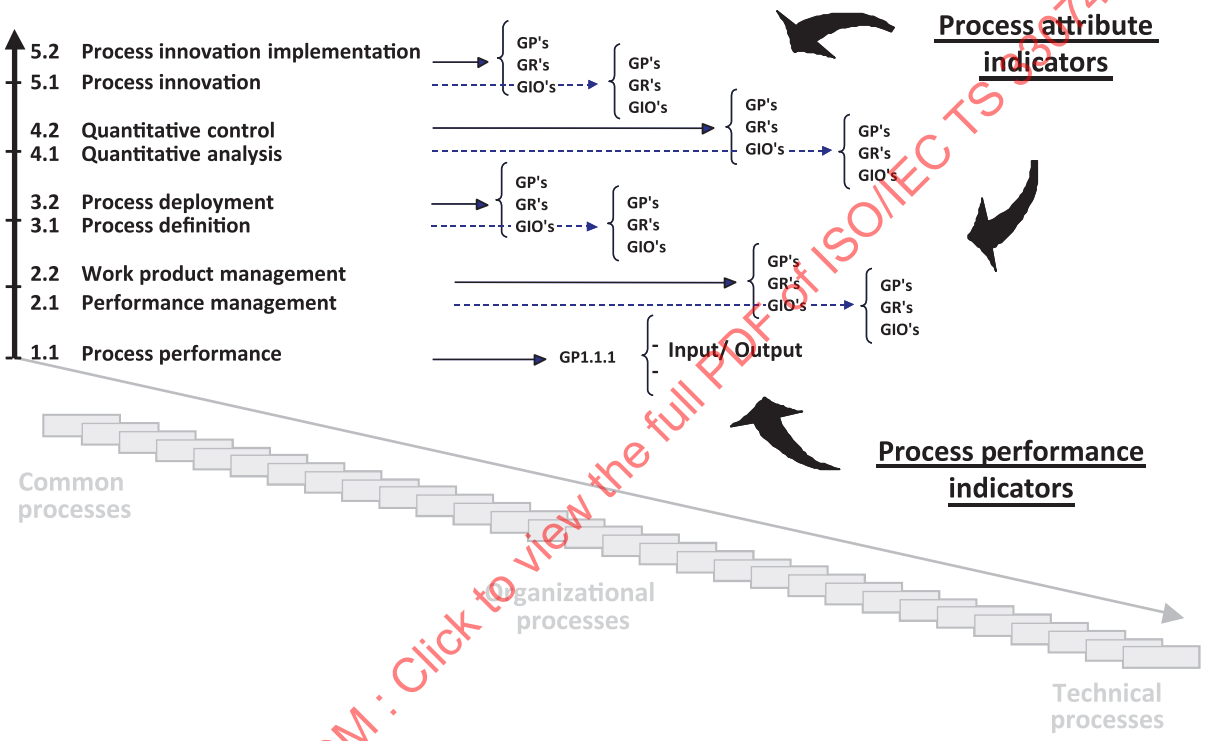

Figure 6 — Relationship between assessment indicators and process capability

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.

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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.

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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.

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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.

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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.

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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.

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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.

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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.

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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]

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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]	

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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.

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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.

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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]

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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.

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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.

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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.

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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]

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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.

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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.

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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]

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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;

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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.

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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]

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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]

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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]

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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.

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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.

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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]	

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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.

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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]

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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.

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Process ID	RAA.2
Name	Service level management
Base practices	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] 2. For each service delivered, the organization establishes one or more SLAs based on the service requirements. 4. The SLA(s) include service level targets, workload limits and exceptions. SDE.1.BP.5 **Satisfy the defined supplier obligations.** 1. The organization monitors and reviews performance against service level targets actual and periodic changes in workload compared to workload limits in the SLA(s). [Outcome 2] RAA.2.BP.2 **Monitor services against service level agreements.** 3. The organization monitors and reviews on performance against service level targets, actual and periodic changes in workload compared to workload limits in the SLA(s). [Outcome 2]
Inputs	
01-1	Service level agreement [Outcome 2]
Outputs	
01-1	Service level agreement [Outcome 1]
08-22	Service level agreement review record [Outcome 2]

5.15 RAA.3 Service reporting

Process ID	RAA.3
Name	Service reporting
Purpose	The purpose of service reporting is to produce timely and accurate service reports to support effective communication and to make informed decisions.
Outcomes	As a result of successful implementation of this process: 1. The service reporting needs are identified. 2. Service report content is defined to support identified service reporting needs and requirements. 3. Service reports are produced according to the service report requirements.

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Process ID	RAA.3
Name	Service reporting
Base practices	RAA.3.BP.1 **Identify the service reporting needs.** 1. The organization determines reporting requirements and their purpose. [Outcome 1] RAA.3.BP.2 **Define service report content in terms of identified service reporting needs and requirements.** 1. Reports on the performance and effectiveness of the SMS and the services are produced using information from the SMS activities and delivery of the services. [Outcome 2] 2. Service reporting includes trends. SDE.1.BP.5 **Satisfy the defined supplier obligations.** 2. The organization reports on performance against service level targets in terms of actual and periodic changes in workload compared to workload limits in the SLA(s). [Outcome 3] COM.01.BP.6 **Communicate information products to relevant parties** 6. Following the completion of the transition activities, the organization reports to interested parties on the achievements against the intended outcomes. [Outcome 3] RAA.3.BP.3 **Produce service reports produced according to the service report requirements.** 1. Top management assigns the responsibility and authority for reporting on the performance of the SMS and the services to top management. [Outcome 3] 2. The organization reports on performance against service level targets, actual and periodic changes in workload compared to workload limits in the SLA(s). 3. The organization reports on actual costs against the budget, review the financial forecasts and manage costs. 4. The organization reports on demand and consumption of services. 6. Information security incidents are reported and reviewed. 7. The organization manages improvement activities reporting on implemented improvements. SAS.2.BP.4 **Evaluate service continuity against the service continuity requirements.** 3. The organization reports on the cause, impact and recovery when the service continuity plan(s) has been invoked. [Outcome 3]
Inputs	
03-32	Service report content definition [Outcome 3]
03-33	Service reporting needs definition [Outcome 2]

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Process ID	RAA.3
Name	Service reporting
Outputs	
09-06	Demand analysis report [Outcome 3]
04-07	Improvement plan [Outcome 3]
08-19	Problem resolution effectiveness review record [Outcome 3]
09-21	Service continuity plan test report [Outcome 3]
08-22	Service level agreement review record [Outcome 3]
04-16	Service management plan [Outcome 3]
03-29	Service management roles and responsibilities [Outcome 3]
09-22	Service report [Outcome 3]
03-32	Service report content definition [Outcome 2]
03-33	Service reporting needs definition [Outcome 1]
09-23	Services provision costs against budget variance report [Outcome 3]
08-27	Services stakeholder communication record [Outcome 3]

5.16 RAA.4 Supplier management

Process ID	RAA.4
Name	Supplier management
Purpose	The purpose of supplier management is to ensure supplier products/services/systems are selected, managed and integrated into the delivered services to meet the agreed requirements
Outcomes	As a result of successful implementation of this process: 1. Criteria are identified for the selection of suppliers. 2. Services to be provided are defined and negotiated with each supplier. 3. Roles and relationships between suppliers are determined. 4. Supplier obligations to meet requirements are monitored. 5. Supplier performance against agreed criteria is monitored and managed.

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Process ID	RAA.4
Name	Supplier management
Base practices	RAA.4.BP.1 **Identify criteria to select suppliers.** 1. The organization determines and applies criteria for the evaluation and selection of other parties involved in the service lifecycle. [Outcome 1] RAA.4.BP.2 **Define and negotiate with each supplier services to be provided.** 1. Where applicable, other parties are external suppliers, internal suppliers or customers acting as a supplier. [Outcome 2] 2. Other parties do not provide or operate all services, service components or processes within the scope of the SMS. 3. The organization determines services that are provided or operated by other parties. 4. The organization determines service components that are provided or operated by other parties. 5. The organization determines processes, or parts of processes, in the organization's SMS that are operated by other parties. 6. For each external supplier, the organisation agrees a contract. 7. The contract includes or contains a reference to scope of the services, service components, processes or parts of processes to be provided or operated by the external supplier. 8. The contract includes or contains a reference to requirements to be met by the external supplier. 9. The contract includes or contains a reference to service level targets or other contractual obligations. 10. The organization reviews the contract against current service requirements. 11. For each internal supplier or customer acting as a supplier, the organization develops, agrees and maintains an agreement to define the service level targets, other commitments, activities and interfaces between, the parties. RAA.4.BP.3 **Determine roles and relationships between suppliers.** 1. The contract includes or contains a reference to authorities and responsibilities of the organization and the external supplier. [Outcome 3] 2. The organization defines and manages the interfaces with the external supplier. RAA.4.BP.4 **Monitor supplier obligations to meet requirements.** 1. The organization ensures that outsourced processes are controlled (see ISO/IEC 20000-1:2018, 8.2.3). [Outcome 4] 2. Disputes between the organization and the external supplier are managed to closure. RAA.4.BP.5 **Monitor supplier performance against agreed criteria.** 1. The organization retains accountability for the requirements specified in ISO/IEC 20000-1 and the delivery of the services regardless of which party is involved in performing activities to support the service lifecycle. [Outcome 5] 3. The organization assesses the alignment of service level targets or other contractual obligations for the external supplier against SLAs with customers. 4. The organization monitors the performance of the external supplier. 5. The organization monitors the performance of the internal supplier or the customer acting as a supplier.

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Process ID	RAA.4
Name	Supplier management
Inputs	
12-16	Service management process interface requirements [Outcome 2]
03-27	Service management resource allocation [Outcome 1,2]
03-28	Service management resource needs [Outcome 1,2]
02-10	Service provider role assignments list [Outcome 1]
01-2	Supplier agreement [Outcome 3,4,5]
Outputs	
12-01	Alternative party process requirements [Outcome 2]
12-16	Service management process interface requirements [Outcome 1,5]
01-2	Supplier agreement [Outcome 2,3]
06-7	Supplier agreement dispute procedure [Outcome 4]
12-17	Supplier management process integration needs [Outcome 2,4]
09-24	Supplier performance evaluation report [Outcome 5]
08-28	Supplier performance review record [Outcome 2,5]

5.17 RAA.5 Service catalogue management

Process ID	RAA.5
Name	Service catalogue management
Purpose	The purpose of service catalogue management is to create and maintain one or more service catalogues that includes the information required by the organization, customers, users and other interested parties to describe the services, the dependencies and the intended outcomes of the services.
Outcomes	As a result of successful implementation of this process: 1. Service catalogue content is defined. 2. Service catalogue content is developed.
Base practices	RAA.5.BP.1 **Define service catalogue content.** 1. The service catalogue(s) include information for the organization, customers, users and other interested parties to describe the services, the intended outcomes and dependencies between the services. [Outcome 1] RAA.5.BP.2 **Develop service catalogue content.** 1. The organization creates one or more service catalogues. [Outcome 2]
Inputs	
03-24	Service catalogue [Outcome 2]
Outputs	
03-24	Service catalogue [Outcome 1,2]

5.18 RAF.1 Incident management

Process ID	RAF.1
Name	Incident management
Purpose	The purpose of incident management is to restore the service as soon as possible and within agreed service level targets in order to minimize the impact on business operations.

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Process ID	RAF.1
Name	Incident management
Outcomes	As a result of successful implementation of this process: 1. Criteria are identified for major incidents. 2. Incidents are recorded and classified. 3. Incidents are prioritized. 4. Incidents are escalated, where needed. 5. Incidents are resolved. 6. Incidents are closed.
Base practices	COM.08.BP.1 **Identify process requirements.** 13. The organization determines criteria to identify a major incident. [Outcome 1] RAF.1.BP.1 **Identify major incident criteria.** 1. Criteria are identified for major incidents. [Outcome 1] RAF.1.BP.2 **Record and classify incidents.** 1. Incidents are recorded and classified. [Outcome 2] RAF.1.BP.3 **Prioritize incidents.** 1. Incidents are prioritized taking into consideration impact and urgency. [Outcome 3] RAF.1.BP.4 **Escalate incidents, where needed.** 1. Incidents are escalated, if needed. [Outcome 4] RAF.1.BP.6 **Resolve incidents.** 1. Incidents are resolved. [Outcome 5] RAF.1.BP.5 **Close incidents.** 1. Incidents are closed. [Outcome 6]
Inputs	
06-2	Incident management procedure [Outcome 3,4,5,6]
03-06	Major incident definition [Outcome 3]
Outputs	
06-2	Incident management procedure [Outcome 2,3,4,5,6]
03-06	Major incident definition [Outcome 1]

5.19 RAF.2 Service request management

Process ID	RAF.2
Name	Service request management
Purpose	The purpose of service request management is to fulfil service requests within agreed service level targets.
Outcomes	As a result of successful implementation of this process: 1. Service requests are recorded and classified. 2. Service requests are prioritized. 3. Service requests are fulfilled. 4. Service requests are closed.

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Process ID	RAF.2
Name	Service request management
Base practices	RAF.2.BP.1 **Record and classify service requests.** 1. Service requests are recorded and classified. [Outcome 1] RAF.2.BP.2 **Prioritize service requests.** 1. Service requests are prioritized. [Outcome 2] RAF.2.BP.3 **Fulfil service requests.** 1. Service requests are fulfilled. [Outcome 3] RAF.2.BP.4 **Close service request.** 1. Service requests are closed. [Outcome 4]
Inputs	
03-24	Service catalogue [Outcome 2]
06-6	Service request procedure [Outcome 2,3,4]
Outputs	
06-6	Service request procedure [Outcome 1,2,3,4]

5.20 RAF.3 Problem management

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

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Process ID	RAF.3
Name	Problem management
Base practices	RAF.3.BP.1 **Record known errors.** 1. Known errors are recorded. [Outcome 1] RAF.3.BP.2 **Identify and classify problems.** 1. The organization analyses data and trends on incidents to identify problems. [Outcome 2] 2. Problems are recorded and classified. RAF.3.BP.3 **Prioritize problems.** 1. Problems are prioritized. [Outcome 3] RAF.3.BP.4 **Escalate problems, if needed.** 1. Problems are escalated if needed. [Outcome 4] RAF.3.BP.6 **Where possible, the impact of problems is minimised.** 1. The organization undertakes root cause analysis and determines potential actions to prevent the occurrence or recurrence of incidents. [Outcome 5] RAF.3.BP.5 **Resolve problems, if possible.** 1. Problems are resolved if possible. [Outcome 6] RAF.3.BP.6 **Where possible, the impact of problems is minimised.** 2. Where the root cause has been identified, but the problem has not been permanently resolved, the organization determines actions to reduce or eliminate the impact of the problem on the services. [Outcome 6] RAF.3.BP.7 **Close problems.** 1. Problems are closed. [Outcome 7]
Inputs	
02-06	Problem management known error log [Outcome 2]
06-4	Problem management procedure [Outcome 3,4,5,6,7]
Outputs	
09-12	Problem analysis report [Outcome 6]
02-06	Problem management known error log [Outcome 1]
06-4	Problem management procedure [Outcome 2,3,4,5,7]
09-13	Problem mitigation report [Outcome 6]

5.21 SAD.1 Budgeting and accounting for services

Process ID	SAD.1
Name	Budgeting and accounting for services
Purpose	The purpose of budgeting and accounting for services is to perform activities of budgeting and accounting to ensure visibility and control of financial resources for service provision.
Outcomes	As a result of successful implementation of this process: 1. Budgets are produced using cost estimates. 2. Costs are monitored against budget.

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Process ID	SAD.1
Name	Budgeting and accounting for services
Base practices	SAD.1.BP.1 **Produce budgets using cost estimates.** 1. Costs are budgeted to enable effective financial control and decision-making for services. [Outcome 1] SAD.1.BP.2 **Monitor costs against budget.** 1. The organization budgets and accounts for services or groups of services in accordance with its financial management policies and processes. [Outcome 1] SAD.1.BP.2 **Monitor costs against budget.** 2. The organization monitors actual costs against the budget, review the financial forecasts and manage costs. [Outcome 2]
Inputs	
05-1	Budgeting & accounting interface to Financial Management description [Outcome 2]
04-19	Services provision budget [Outcome 2]
Outputs	
05-1	Budgeting & accounting interface to Financial Management description [Outcome 1]
04-19	Services provision budget [Outcome 1]
09-23	Services provision costs against budget variance report [Outcome 2]

5.22 SAD.2 Demand management

Process ID	SAD.2
Name	Demand management
Purpose	The purpose of demand management is to determine current and future customer demand for services so that the organization can align and adjust capacity as needed.
Outcomes	As a result of successful implementation of this process: 1. Current demand and consumption of services is identified. 2. Future demand for services is forecast. 3. Demand and consumption of services is monitored.
Base practices	SAD.2.BP.1 **Identify current demand and consumption of services.** 1. The organization determines current demand for services. [Outcome 1] SAD.2.BP.2 **Forecast future demand for services.** 1. The organization forecasts future demand for services. [Outcome 2] SAD.2.BP.3 **Monitor demand and consumption of services.** 1. The organization monitors demand and consumption of services. [Outcome 3]
Inputs	
12-04	Demand requirements [Outcome 2,3]
Outputs	
09-06	Demand analysis report [Outcome 3]
12-04	Demand requirements [Outcome 1,2]

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5.23 SAD.3 Capacity management

Process ID	SAD.3
Name	Capacity management
Purpose	The purpose of capacity management is to ensure that the organization has capacity to meet current and future demands for services and performance requirements.
Outcomes	As a result of successful implementation of this process: 1. Capacity requirements for human, technical, information and financial resources are determined. 2. Current and future capacity is planned to meet the demand. 3. Sufficient capacity is provided to meet capacity and performance requirements. 4. Capacity usage is monitored and analysed.
Base practices	SAD.3.BP.1 **Determine capacity requirements for human, technical, information and financial resources.** 1. The capacity requirements for human, technical, information and financial resources are determined taking into consideration the service and performance requirements. [Outcome 1] SAD.3.BP.2 **Plan future capacity.** 1. The organization plans capacity to include current and forecast capacity based on demand for services. [Outcome 2] 2. The organization plans capacity to include expected impact on capacity of agreed service level targets, requirements for service availability and service continuity. 3. The organization plans capacity to include timescales and thresholds for changes to service capacity. SAD.3.BP.3 **Provide sufficient capacity to meet future capacity and performance requirements.** 1. The organization provides sufficient capacity to meet agreed capacity and performance requirements. [Outcome 3] SAD.3.BP.4 **Monitor and analyse capacity usage.** 1. The organization monitors capacity usage, analyse capacity and performance data. [Outcome 4]
Inputs	
09-01	Capacity future needs assessment report [Outcome 3,4]
04-04	Capacity plan [Outcome 3]
04-18	Service provision review schedule [Outcome 2,3]
Outputs	
09-01	Capacity future needs assessment report [Outcome 3]
04-04	Capacity plan [Outcome 2]
12-03	Capacity requirements [Outcome 1]
09-02	Capacity usage analysis report [Outcome 4]
04-18	Service provision review schedule [Outcome 4]

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5.24 SAS.1 Service availability management

Process ID	SAS.1
Name	Service availability management
Purpose	The purpose of service availability management is to ensure that agreed service availability requirements and targets, based on business requirements, service requirements, service levels and identified risks, will be met.
Outcomes	As a result of successful implementation of this process: 1. Service availability requirements and targets are identified. 2. Service availability is monitored and recorded. 3. Causes of unplanned service non-availability are identified, analysed, and necessary actions taken.
Base practices	SAS.1.BP.1 **Identify service availability requirements and targets.** 1. The organization determines the service availability requirements and targets. [Outcome 1] 2. The agreed requirements take into consideration relevant business requirements, service requirements, SLAs and risks. SAS.1.BP.2 **Monitor service availability.** 1. Service availability is monitored and compared with the targets, and results recorded. [Outcome 2] SAS.1.BP.3 **Identify and analyse causes of unplanned service non-availability.** 1. Causes of unplanned non-availability are identified, analysed and necessary actions taken. [Outcome 3]
Inputs	
02-09	Service availability log [Outcome 3]
12-12	Service availability requirements [Outcome 2]
Outputs	
02-08	Service availability action log [Outcome 3]
02-09	Service availability log [Outcome 2]
12-12	Service availability requirements [Outcome 1]

5.25 SAS.2 Service continuity management

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

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Process ID	SAS.2
Name	Service continuity management
Base practices	SAS.2.BP.1 **Identify service continuity requirements.** 1. The organization determines the service continuity requirements. [Outcome 1] 2. The agreed requirements take into consideration relevant business requirements, service requirements, SLAs and risks. SAS.2.BP.2 **Plan service continuity to meet the service continuity requirements.** 1. The organization creates, implements and maintains one or more service continuity plans. [Outcome 2] 2. The service continuity plan(s) include or contain a reference to criteria and responsibilities for invoking service continuity. 3. The service continuity plan(s) include or contain a reference to procedures to be implemented in the event of a major loss of service. 4. The service continuity plan(s) include or contain a reference to targets for service availability when the service continuity plan is invoked. 5. The service continuity plan(s) include or contain a reference to service recovery requirements. 6. The service continuity plan(s) include or contain a reference to procedures for returning to normal working conditions. SAS.2.BP.3 **Test service continuity plans against service continuity requirements.** 1. he service continuity plan(s) are tested against the service continuity requirements. [Outcome 3] SAS.2.BP.4 **Evaluate service continuity against the service continuity requirements.** 1. The service continuity plans are re-tested after major changes to the service environment. [Outcome 4] 2. Reviews are conducted after each test and after the service continuity plan(s) has been invoked. SAS.2.BP.5 **Address any identified deficiencies in the service continuity planning.** 1. Any identified deficiencies in the service continuity planning are addressed. [Outcome 5]
Inputs	
04-15	Service continuity plan [Outcome 3,4]
09-21	Service continuity plan test report [Outcome 5]
08-21	Service continuity plan test result review record [Outcome 4]
12-14	Service continuity requirements [Outcome 2]
Outputs	
04-15	Service continuity plan [Outcome 2]
09-21	Service continuity plan test report [Outcome 3,4,5]
08-21	Service continuity plan test result review record [Outcome 4]
12-14	Service continuity requirements [Outcome 1]

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5.26 SAS.3 Information security management

Process ID	SAS.3
Name	Information security management
Purpose	The purpose of information security management is to protect the confidentiality, integrity and availability of information relevant to the services at an agreed level within all service management activities.
Outcomes	As a result of successful implementation of this process: 1. Information security requirements are identified. 2. Criteria for the assessment of information security risks and the acceptable level of risk are identified. 3. Information security controls are defined. 4. Information security controls are implemented. 5. Information security incidents are identified, resolved and closed. 6. Information security controls address identified information security risks. 7. The effectiveness of controls is monitored, reviewed and revised.
Base practices	SAS.3.BP.1 **Identify information security requirements.** 1. The information security policy takes into consideration the service requirements and the obligations in ISO/IEC 20000-1:2018, 6.2. [Outcome 1] SAS.3.BP.2 **Identify criteria for the assessment of information security risks and the acceptable level of risk.** 1. The organization determines risk acceptance criteria. [Outcome 2] SAS.3.BP.3 **Define information security controls.** 1. The organization implements information security controls to address information security controls related to external organizations. [Outcome 3] SAS.3.BP.4 **Implement information security controls.** 1. The organization implements information security controls to address information security risks related to external organizations. [Outcome 4] SAS.3.BP.5 **Identify, resolve and close information security incidents.** 1. Information security incidents are recorded and classified. [Outcome 5] 2. Information security incidents are prioritized taking into consideration the information security risk. 3. Information security incidents are escalated if needed. 4. Information security incidents are resolved. 5. Information security incidents are closed. SAS.3.BP.6 **Identified information security risks are addressed by Information security controls.** 1. Identified information security risks. [Outcome 6] COM.09.BP.4 **Review the suitability and effectiveness of the actions taken to achieve the management system objectives.** 5. The organization monitors and reviews the effectiveness of information security controls and takes necessary actions. [Outcome 7] SAS.3.BP.7 **Monitor, review and revise the effectiveness of controls.** 1. The effectiveness of controls is monitored, reviewed and revised. [Outcome 7]
Inputs	
05-7	Information security policy [Outcome 2,3]
04-14	Risk treatment plan [Outcome 3]

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Process ID	SAS.3
Name	Information security management
Outputs	
09-08	Information security controls effectiveness evaluation report [Outcome 7]
09-09	Information security controls objectives [Outcome 3]
03-04	Information security controls report [Outcome 4,6]
06-3	Information security Incident management procedure [Outcome 5]
05-7	Information security policy [Outcome 1]
03-23	Risk assessment criteria [Outcome 2]

5.27 SDB.1 Service requirements definition

Process ID	SDB.1
Name	Service requirements definition
Purpose	The purpose of service requirements definition is to establish, agree and maintain the requirements for services and align them with business needs.
Outcomes	As a result of successful implementation of this process: 1. The requirements for services are identified. 2. The criticality, dependencies and duplication of services is identified. 3. Service requirements are continually aligned with business needs.
Base practices	SDE.1.BP.2 **Produce a response to a customer's request.** 1. The service requirements for existing services, new services and changes to services are determined. [Outcome 1] SDB.1.BP.2 **Identify the criticality, dependencies and duplication of services.** 2. The organization determines and manages dependencies and duplication between services. [Outcome 2] SDB.1.BP.3 **Service requirements are continually aligned with business needs.** 1. The organization prioritizes requests for change and proposals for new or changed services to align with business needs and service management objectives, taking into consideration available resources. [Outcome 3]
Inputs	
05-2	Change management policy [Outcome 2]
12-06	New or changed service requirements [Outcome 1,3]
Outputs	
12-06	New or changed service requirements [Outcome 1,2,3]

5.28 SDB.2 Service design

Process ID	SDB.2
Name	Service design
Purpose	The purpose of service design is to design new or changed services that fulfil service requirements.
Outcomes	As a result of successful implementation of this process: 1. New or changed services are designed to meet service requirements. 2. A design specification that defines the attributes of the new or changed service is prepared.

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Process ID	SDB.2
Name	Service design
Base practices	SDB.2.BP.1 **Design new or changed services to fulfil business needs and customer requirements;** 1. The new or changed services are designed to meet the service requirements determined in ISO/IEC 20000-1:2018, 8.2.2. [Outcome 1] SDB.2.BP.2 **Prepare a design specification that defines the attributes of the new or changed service;** 1. The design includes, where relevant, authorities and responsibilities of the parties involved in the delivery of the new or changed services. [Outcome 2] 2. The design includes, where relevant, requirements for changes to human, technical, information and financial resources. 3. The design includes, where relevant, requirements for appropriate education, training and experience. 4. The design includes, where relevant, new or changed SLAs, contracts and other documented agreements that support the services. 5. The design includes, where relevant, changes to the SMS including new or changed policies, plans, processes, procedures, measures and knowledge. 6. The design includes, where relevant items, impact on other services. 7. The design includes, where relevant, updates to the service catalogue(s).
Inputs	
03-17	New or changed service design [Outcome 2]
Outputs	
03-17	New or changed service design [Outcome 1]
12-07	New or changed service specification [Outcome 2]

5.29 SDB.3 Service build and transition

Process ID	SDB.3
Name	Service build and transition
Purpose	The purpose of service build and transition is to make the new or changed services operational.
Outcomes	As a result of successful implementation of this process: 1. New or changed services are built according to the design specification. 2. The new or changed services are tested against the service requirements. 3. The new or changed services are accepted in accordance with the service acceptance criteria.

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Process ID	SDB.3
Name	Service build and transition
Base practices	SDB.3.BP.1 **Build new or changes services according to the design specification.** 1. The new or changed services are built. [Outcome 1] SDB.3.BP.2 **Test new or changed services against the service specification.** 1. The new or changed services are tested to verify that they meet the service requirements, conform to the documented design and meet the agreed service acceptance criteria. [Outcome 2] SDE.1.BP.2 **Produce a response to a customer's request.** 3. The organization proposes changes where needed to align the services with the service management policy, service management objectives and service requirements, taking into consideration known limitations and risks. [Outcome 3] COM.09.BP.4 **Review the suitability and effectiveness of the actions taken to achieve the management system objectives.** 6. If the acceptance criteria are not met, the organization and interested parties makes a decision on necessary actions and deployment. [Outcome 3] SDB.1.BP.2 **Identify the criticality, dependencies and duplication of services.** 3. The organization proposes changes where needed to align the services with the service management policy, service management objectives and service requirements, taking into consideration known limitations and risks. [Outcome 3] SDB.3.BP.3 **Accept new or changed services in accordance with the service acceptance criteria.** 1. If the service acceptance criteria are not met, the organization and interested parties makes a decision on necessary actions and deployment. [Outcome 3]
Inputs	
09-11	New or changed services test report [Outcome 2,3]
Outputs	
12-06	New or changed service requirements [Outcome 3]
08-16	New or changed services acceptance record [Outcome 3]
09-11	New or changed services test report [Outcome 1,2]

5.30 SDB.4 Release and deployment management

Process ID	SDB.4
Name	Release and deployment management
Purpose	The purpose of release and deployment management is to deploy releases into the live environment in a controlled manner.
Outcomes	As a result of successful implementation of this process: 1.Types of releases and their management are defined. 2. Release acceptance criteria are defined. 3. Releases are tested in accordance with defined criteria. 4. Approved releases are deployed.

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Process ID	SDB.4
Name	Release and deployment management
Base practices	SDB.4.BP.1 **Define types of releases and their management** 1. The organization defines the types of releases, including emergency releases, their frequency and how they are to be managed. [Outcome 1] SDB.4.BP.2 **Determine release acceptance criteria.** 1. Determine the acceptance criteria. [Outcome 2] SDB.4.BP.3 **Test releases in accordance with defined criteria.** 1. The release is verified against the acceptance criteria and approved before deployment. [Outcome 3] SDB.4.BP.4 **Deploy approved releases.** 1. The approved release is deployed into the live environment. [Outcome 4] 2. If acceptance criteria are not met, a decision on actions is taken.
Inputs	
04-06	Change schedule [Outcome 2]
03-19	Release acceptance test criteria [Outcome 3]
09-15	Release acceptance test report [Outcome 4]
04-11	Release plan [Outcome 4]
05-8	Release policy [Outcome 2]
Outputs	
09-14	Release acceptance review record [Outcome 4]
03-19	Release acceptance test criteria [Outcome 2]
09-15	Release acceptance test report [Outcome 3]
02-07	Release log [Outcome 4]
05-8	Release policy [Outcome 1]

5.31 SDE.1 Service delivery

Process ID	SDE.1
Name	Service delivery
Purpose	The purpose of service delivery is to provide customers with services that meet agreed requirements.
Outcomes	As a result of successful implementation of this process: 1. Customers for services are identified. 2. A response to the customer's request for services is produced. 3. An agreement between the customer and organization is established. 4. A service is provided according to the agreement. 5. Organizational obligations defined in the agreement are satisfied.

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Process ID	SDE.1
Name	Service delivery
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] SDE.1.BP.2 **Produce a response to a customer's request.** 2. The organization determines the criticality of services based on the needs of the organization, customers, users and other interested parties. [Outcome 2] 4. Requests for change, including proposals to add, remove or transfer services, are recorded and classified. SDB.1.BP.2 **Identify the criticality, dependencies and duplication of services.** 1. The organization determines the criticality of services based on the needs of the organization, customers, users and other interested parties. [Outcome 2] SDE.1.BP.3 **Establish an agreement between the customer and supplier.** 1. The organization and the customer agree on the services to be delivered. [Outcome 3] SDE.1.BP.4 **Provide a service.** 1. The organisation performs the activities required to deliver services. [Outcome 4] SDE.1.BP.5 **Satisfy the defined supplier obligations.** 1. The organization monitors and reviews performance against service level targets actual and periodic changes in workload compared to workload limits in the SLA(s). [Outcome 5] 2. The organization reports on performance against service level targets in terms of actual and periodic changes in workload compared to workload limits in the SLA(s).
Inputs	
12-06	New or changed service requirements [Outcome 3]
02-13	Service stakeholder list [Outcome 2]
08-26	Services approval record [Outcome 4]
Outputs	
08-04	Change request record [Outcome 2]
03-10	Management system strategy: Delivery [Outcome 4]
12-06	New or changed service requirements [Outcome 2]
08-22	Service level agreement review record [Outcome 5]
02-13	Service stakeholder list [Outcome 1]
08-26	Services approval record [Outcome 3]
03-34	Services improvement opportunity [Outcome 5]
01-2	Supplier agreement [Outcome 3]

5.32 SPC.1 Change management

Process ID	SPC.1
Name	Change management
Purpose	The purpose of change management is to ensure all changes are assessed, approved and implemented in a controlled manner.

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Process ID	SPC.1
Name	Change management
Outcomes	As a result of successful implementation of this process: 1. Change requests are recorded and classified. 2. Change requests are analysed. 3. Criteria for evaluating changes are defined. 4. Changes are evaluated using defined criteria. 5. Changes that meet defined criteria are implemented and verified. 6. Changes that do not meet defined criteria are reversed or remedied.
Base practices	SDE.1.BP.2 **Produce a response to a customer's request.** 4. Requests for change, including proposals to add, remove or transfer services, are recorded and classified. [Outcome 1] SPC.1.BP.1 **Record and classify change requests.** 1. Requests for change, including proposals to add, remove or transfer services, are recorded and classified. [Outcome 1] SPC.1.BP.2 **Analyse change requests.** 1. The organization controls planned changes to the SMS and reviews the consequences of unintended changes. [Outcome 2] 2. Changes identified for the contract are assessed for the impact of the change on the SMS and the services before the change is approved. TOP.01.BP.4 **Determine the management system and operational process strategy.** 15. A change management policy is established that defines criteria to determine changes with the potential to have a major impact on customers or services. [Outcome 3] SPC.1.BP.3 **Define criteria for evaluating changes.** 1. Criteria for evaluating changes are defined. [Outcome 3] COM.08.BP.1 **Identify process requirements.** 3. The organization uses service design and transition in ISO/IEC 20000-1:2018, 8.5.2 for transfer of an existing service from a customer or other party to the organization. [Outcome 4] 4. The organization uses service design and transition in ISO/IEC 20000-1:2018, 8.5.2 for new services with the potential to have a major impact on customers or other services as determined by the change management policy. 5. The organization uses service design and transition for categories of change that are to be managed by service design and transition in ISO/IEC 20000-1:2018, 8.5.2 according to the change management policy. 6. The organization uses service design and transition in ISO/IEC 20000-1:2018, 8.5.2 for removal of a service. 7. The organization uses service design and transition in ISO/IEC 20000-1:2018, 8.5.2 for transfer of an existing service from the organization to a customer or other party. 8. The organization uses service design and transition in ISO/IEC 20000-1:2018, 8.5.2 for changes to services with the potential to have a major impact on customers or other services as determined by the change management policy.

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Process ID	SPC.1
Name	Change management
	SPC.1.BP.4 **Evaluate changes using defined criteria.** 1. The organization and interested parties make decisions on the approval and priority of requests for change. [Outcome 4] 2. Decision-making takes into consideration the risks, business benefits, feasibility and financial impact. 3. Decision making also considers potential impacts of the change on existing services. 4. Decision making also considers potential impacts of the change on customers, users and other interested parties. 5. Decision making also considers potential impacts of the change on policies and plans required by ISO/IEC 20000-1. 6. Decision making also considers potential impacts of the change on capacity, service availability, service continuity and information security. 7. Decision making also considers potential impacts of the change on other requests for change, releases and plans for deployment. SPC.1.BP.5 **Implement and verify changes that meet defined criteria.** 1. Changes that meet defined criteria are implemented and verified. [Outcome 5] SPC.1.BP.6 **Reverse or remedy changes that do not meet defined criteria.** 1. Changes that do not meet defined criteria are reversed or remedied. [Outcome 6]
Inputs	
05-2	Change Management policy [Outcome 4]
08-03	Change request approval record [Outcome 5]
03-03	Change request classification criteria [Outcome 2,4]
02-03	Implemented changes log [Outcome 2,6]
Outputs	
05-2	Change Management policy [Outcome 2,3]
08-03	Change request approval record [Outcome 4]
03-03	Change request classification criteria [Outcome 4]
08-04	Change request record [Outcome 1]
02-03	Implemented changes log [Outcome 5]
02-05	MS Implementation log [Outcome 2]
04-13	Reversing unsuccessful changes plan [Outcome 6]
11-2	Supplier agreement change request [Outcome 2]

5.33 SPC.2 Configuration management

Process ID	SPC.2
Name	Configuration management
Purpose	The purpose of configuration management is to identify and control all identified service components and to maintain accurate configuration information to support other service management activities.

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Process ID	SPC.2
Name	Configuration management
Outcomes	As a result of successful implementation of this process: 1. Items requiring configuration management are identified. 2. The relationship between configuration items is determined. 3. The status of configuration items and modifications is identified. 4. Changes to items under configuration management are controlled. 5. The integrity of systems, products/services and product/service components is assured.
Base practices	COM.08.BP.1 **Identify process requirements.** 11. The CIs affected by new or changed services are managed through configuration management. [Outcome 1] SPC.2.BP.1 **Identify items requiring configuration management.** 1. The types of CI are defined. Services are classified as CIs. [Outcome 1] COM.02.BP.1 **Identify information to documented.** 33. The configuration information recorded for each CI includes the relationship with other CIs. [Outcome 2] SPC.2.BP.2 **Identify the relationship between CI's.** 1. The configuration information recorded for each CI includes the relationship with other CIs. [Outcome 2] SPC.2.BP.3 **Identify the status of configuration items and modifications.** 1. The configuration information recorded for each CI includes status. [Outcome 3] SPC.2.BP.4 **Control changes to items under configuration management.** 1. CIs are controlled. [Outcome 4] 2. The configuration information is updated following the deployment of changes to CIs. 3. Before deployment of a release into the live environment, a baseline of the affected CIs is taken, if possible. SPC.2.BP.5 **Assure the integrity of systems, products/services and product/service components.** 2. Changes to CIs are traceable and auditable to maintain the integrity of the configuration information. [Outcome 5] 3. The organization verifies the accuracy of the configuration information. 4. Where deficiencies are found, the organization takes necessary actions.
Inputs	
08-05	Configuration baseline [Outcome 4]
02-02	Configuration item change log [Outcome 3,5]
05-4	Configuration item definition policy [Outcome 1,2,3,4,5]
08-06	Configuration item record [Outcome 3,4,5]
01-1	Service level agreement [Outcome 1]
01-2	Supplier agreement [Outcome 1]

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Process ID	SPC.2
Name	Configuration management
Outputs	
08-05	Configuration baseline [Outcome 3,4]
09-05	Configuration item audit report [Outcome 5]
02-02	Configuration item change log [Outcome 4,5]
05-4	Configuration item definition policy [Outcome 1,2,3]
05-5	Configuration management policy [Outcome 1]

5.34 TOP.01 Leadership

Process ID	TOP.01
Name	Leadership
Purpose	The purpose of leadership is to direct the organization in the achievement of its vision, mission, strategy and goals, through assuring the definition of a management system, a management system policy, and management system objectives.
Outcomes	As a result of successful implementation of this process: 1. The context of the organization, including the expectations of its relevant interested parties, are understood and analysed. 2. The scope of management system activities is defined, taking the context of the organization into consideration. 3. The management system policy and objectives are defined. 4. The management system and operational process strategy is determined. 5. Commitment and leadership with respect to the management system is demonstrated.

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Process ID	TOP.01
Name	Leadership
Base practices	TOP.01.BP.1 **Understand and analyse the context of the organization, including the expectations of its relevant interested parties.** 1. The organization determines external and internal issues that are relevant to its purpose and that affect its ability to achieve the intended outcome(s) of its SMS. [Outcome 1] 2. The organization determines the interested parties that are relevant to the SMS and the services. TOP.01.BP.2 **Define the scope of management system activities, taking the context of the organization into consideration.** 1. The organization determines the boundaries and applicability of the SMS to establish its scope. [Outcome 2] 2. When determining this scope, the organization considers the external and internal issues referred to in ISO/IEC 20000-1:2018, 4.1. 3. When determining this scope, the organization considers the requirements referred to in ISO/IEC 20000-1:2018, 4.2. 4. When determining this scope, the organization considers the services delivered by the organization. 5. The definition of the scope of the SMS includes the services in scope and the name of the organization managing and delivering the services. COM.01.BP.6 **Communicate information products to relevant parties** 1. Top management establishes a service management policy that provides a framework for setting service management objectives. [Outcome 3] COM.08.BP.2 **Determine process input and output products.** 1. Top management demonstrates leadership and commitment with respect to the SMS by ensuring that the SMS achieves its intended outcome(s). [Outcome 3] TOP.01.BP.3 **Define the management system policy and objectives.** 1. Top management establishes a service management policy is appropriate to the purpose of the organization. [Outcome 3] 2. Top management establishes a service management policy that includes a commitment to satisfy applicable requirements. 3. Top management establishes a service management policy that includes a commitment to continual improvement of the SMS and the services. 4. The organization establishes service management objectives at relevant functions and levels. 5. The service management objectives are consistent with the service management policy.

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Process ID	TOP.01
Name	Leadership
	6. The service management objectives are measurable. 7. The service management objectives take into account applicable requirements. 8. The service management objectives are updated as appropriate. TOP.01.BP.4 **Determine the management system and operational process strategy.** 1. The organization establishes, implements, maintains and continually improves an SMS, including the processes needed and their interactions, in accordance with the requirements of ISO/IEC 20000-1. [Outcome 4] 2. Top management demonstrates leadership and commitment with respect to the SMS by ensuring that what constitutes value for the organization and its customers is determined. 3. Top management demonstrates leadership and commitment with respect to the SMS by ensuring there is control of other parties involved in the service lifecycle. 4. Top management demonstrates leadership and commitment with respect to the SMS by promoting continual improvement of the SMS and the services. 5. When planning for the SMS, the organization considers the factors 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 prevent, or reduce, undesired effects. 6. When planning for the SMS, the organization considers the factors 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 achieve continual improvement of the SMS and the services. 7. The organization's SMS includes documented information required by ISO/IEC 20000-1. 8. The organization's SMS includes documented information determined by the organization as being necessary for the effectiveness of the SMS. 9. Where applicable, the organization uses suppliers to operate services. 10. Where applicable, the organization uses suppliers to provide service components. 11. Where applicable, the organization uses suppliers to operate service components. 12. Where applicable, the organization uses suppliers to operate processes, or parts of processes, that are in the organization's SMS. 13. The organization establishes arrangements for communicating with its customers and other interested parties. 14. A change management policy is established to define service components and other items that are under the control of change management.

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Process ID	TOP.01
Name	Leadership
	16. A change management policy is established that defines categories of change, including emergency change, and how they are to be managed. 17. Management with appropriate authority approves an information security policy relevant to the organization. 18. The organization continually improves the suitability, adequacy and effectiveness of the SMS and the services. SPC.2.BP.5 **Assure the integrity of systems, products/services and product/service components.** 1. The organization ensures that assets used to deliver services are managed to meet the service requirements and obligations. [Outcome 4] TOP.01.BP.5 **Demonstrate commitment and leadership with respect to the management system.** 1. Top management demonstrates leadership and commitment with respect to the SMS by ensuring that the service management policy and service management objectives are established and are compatible with the strategic direction of the organization. [Outcome 5] 2. Top management demonstrates leadership and commitment with respect to the SMS by ensuring that the service management plan is created, implemented and maintained in order to support the service management policy, and the achievement of the service management objectives and the service requirements. 3. Top management demonstrates leadership and commitment with respect to the SMS by communicating the importance of effective service management, achieving the service management objectives, delivering value and conforming to the SMS requirements. 4. Top management demonstrates leadership and commitment with respect to the SMS by directing and supporting persons to contribute to the effectiveness of the SMS and the services. 5. Top management demonstrates leadership and commitment with respect to the SMS by supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility. RAA.4.BP.5 **Monitor supplier performance against agreed criteria.** 2. The organization defines and applies controls for other parties that include measurement and evaluation of process performance. [Outcome 5]
Inputs	
03-12	Management system strategy: External and internal issues [Outcome 2]
03-25	Service management objectives [Outcome 4]
05-9	Service management policy [Outcome 4,5]
02-13	Service stakeholder list [Outcome 1]

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Process ID	TOP.01
Name	Leadership
Outputs	
12-02	Business relationship management process requirements [Outcome 4]
05-2	Change Management policy [Outcome 4]
05-3	CM interface to financial management policy [Outcome 4]
05-6	Improvement policy [Outcome 4]
05-7	Information security policy [Outcome 4]
03-11	Management system strategy: Documentation [Outcome 4]
03-12	Management system strategy: External and internal issues [Outcome 1]
03-14	Management system strategy: Management commitment [Outcome 4,5]
03-15	Management system strategy: Suppliers [Outcome 4]
03-25	Service management objectives [Outcome 3]
04-16	Service management plan [Outcome 1,3,4,5]
05-9	Service management policy [Outcome 3]
12-16	Service management process interface requirements [Outcome 5]
03-30	Service management system scope [Outcome 2]
02-13	Service stakeholder list [Outcome 1]

6 Process capability indicators

6.1 Introduction

This clause presents the process capability indicators related to the process capability attributes (process attribute, PA) associated with capability levels 1 to 5 defined in the capability dimension of the process assessment model. Process capability indicators are the means of achieving the capabilities addressed by the considered process capability attributes. Evidence of process capability indicators supports the judgment of the degree of achievement of the process capability attribute. Clause 5 describes the assessment indicators for process performance which is characterized by Level 1 process capability.

6.2 Process capability levels and process attributes

6.2.1 General

The capability process quality characteristic of the process assessment model consists of capability levels as defined in ISO/IEC 33020. Process capability is defined on a six point ordinal scale that enables capability to be assessed from the bottom of the scale, "Incomplete", through to the top end of the scale, "Innovating". The scale represents increasing capability of the implemented process, from failing to achieve the process purpose through to continually improved and responding to strategic organizational change.

NOTE 1 In 6.2.2 to 6.2.7, ISO/IEC 33020 process attribute definitions and attribute outcomes are identified with italic font.

NOTE 2 Following each generic resource and generic work product is '[PA.x.y outcome]'. This refers to process attribute x.y outcome n which is satisfied by this indicator.

6.2.2 Process capability Level 0: Incomplete process

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

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

6.2.3 Process capability Level 1: Performed process

6.2.3.1 General

The implemented process achieves its process purpose. The following process attribute demonstrates the achievement of this level.

6.2.3.2 PA.1.1 Process performance process attribute

6.2.3.2.1 General

The process performance process attribute is a measure of the extent to which the process purpose is achieved. As a result of full achievement of this process attribute:

a) *The process achieves its defined process outcomes.*

6.2.3.2.2 Generic practice for PA.1.1

PA.1.1.GP1 Achieve the process outcomes
Achieve the intent of the base practices.
Produce work products that evidence the process outcomes.

NOTE The assessment of a performed process is based on process performance indicators, which are defined in Clause 5.

6.2.3.2.3 Generic resources for PA.1.1

— Resources are used to perform the intent of process specific base practices. [PA.1.1 outcome a]

6.2.3.2.4 Generic work products for PA.1.1

7.0 Product [PA.1.1 outcome a]

— Work products exist that provide evidence of the achievement of the process outcomes.

6.2.4 Process capability Level 2: Managed process

6.2.4.1 General

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.

The following process attributes, together with the previously defined process attribute, demonstrate the achievement of this level:

6.2.4.2 PA.2.1 Performance management process attribute

6.2.4.2.1 General

The performance management process attribute is a measure of the extent to which the performance of the process is managed. As a result of full achievement of this process attribute:

b) *Objectives for the performance of the process are identified;*

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c) *Performance of the process is planned;*

d) *Performance of the process is monitored;*

e) *Performance of the process is adjusted to meet plans;*

f) *Responsibilities and authorities for performing the process are defined, assigned and communicated;*

g) *Personnel performing the process are prepared for executing their responsibilities;*

h) *Resources and information necessary for performing the process are identified, made available, allocated and used;*

i) *Interfaces between the involved parties are managed to ensure both effective communication and clear assignment of responsibility.*

6.2.4.2.2 Generic practices for PA.2.1

PA.2.1.GP1 Identify the objectives for the performance of the process. NOTE Performance objectives may include — (1) quality of the artefacts produced, (2) process cycle time or frequency, (3) resource usage and (4) boundaries of the process. Performance objectives are identified based on process requirements. The scope of the process performance is defined. Assumptions and constraints are considered when identifying the performance objectives.
PA.2.1.GP2 Plan the performance of the process to fulfil the identified objectives. Plan(s) for the performance of the process are developed. The process performance cycle is defined. Key milestones for the performance of the process are established. Estimates for process performance attributes are determined and maintained. Process activities and tasks are defined. Schedule is defined and aligned with the approach to performing the process. Process work product reviews are planned.
PA.2.1.GP3 Monitor the performance of the process against the plans. The process is performed according to the plan(s). Process performance is monitored to ensure that planned results are achieved and to identify possible deviations.
PA.2.1.GP4 Adjust the performance of the process. Process performance issues are identified. Appropriate actions are taken when planned results and objectives are not achieved. The plan(s) are adjusted, as necessary. Rescheduling is performed as necessary.
PA.2.1.GP5 Define responsibilities and authorities for performing the process. Responsibilities, commitments and authorities to perform the process are defined, assigned and communicated. Responsibilities and authorities to verify process work products are defined and assigned. The needs for process performance experience, knowledge and skills are defined.

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PA.2.1.GP6 Prepare those performing the process to execute their responsibilities. Competencies for management and execution of the process are ensured by training or work-based learning. Required competencies are identified based on the responsibilities.
PA.2.1.GP7 Identify and make available resources to perform the process according to plan. The human and infrastructure resources necessary for performing the process are identified, made available, allocated and used. The information necessary to perform the process is identified and made available.
PA.2.1.GP8 Manage the interfaces between involved parties. The individuals and groups involved in the process performance are determined. Responsibilities of the involved parties are assigned. Interfaces between the involved parties are managed. Communication is assured between the involved parties. Communication between the involved parties is effective.

6.2.4.2.3 Generic resources for PA.2.1

— Human resources with identified objectives, responsibilities and authorities; [PA.2.1 outcome a, e, f, g, h]

— Facilities and infrastructure resources; [PA.2.1 outcome a, e, g, h]

— Project planning, management and control tools, including time and cost reporting; [PA.2.1 outcome b, c, d]

— Workflow management system; [PA.2.1 outcome e, h]

— Email and/or other communication mechanisms; [PA.2.1 outcome e, h]

— Information and/or experience repository; [PA.2.1 outcome b, c, f, g]

— Problem and issue management mechanisms. [PA.2.1 outcome d]

6.2.4.2.4 Generic work products for PA.2.1

4.0 Plan [PA 2.1 outcome a, b, c, d, e, f, g, h]

— Defines objectives to perform the process.

— Describes assumptions and constraints considered in defining the objectives.

— Includes milestones and timetable to produce the work products of the process.

— Identifies tasks, resources, responsibilities and infrastructure needed to perform the process.

— Considers risks related to fulfil defined objectives.

— Identifies stakeholders and communication mechanisms to be used.

— Describes how the plan is controlled and adjusted when needed.

8.0 Record [PA.2.1 outcome c, d, e, g, h]

— Contains status information about corrections; schedule and work breakdown structure.

— Monitors identified risks.

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— States results achieved or provides evidence of activities performed in a process.

— Provides evidence of communication, meetings, reviews and corrections.

9.0 Report [PA.2.1 outcome b, c, d]

— Monitors process performance against defined objectives and plans.

— Identifies deviations in process performance.

— Describes results and status of the process.

— Provides evidence of management activities.

6.2.4.3 PA.2.2 Work product management process attribute

6.2.4.3.1 General

The work product management process attribute is a measure of the extent to which the work products produced by the process are appropriately managed. As a result of full achievement of this process attribute:

a) *Requirements for the work products of the process are defined;*

b) *Requirements for documentation and control of the work products are defined;*

c) *Work products are appropriately identified, documented, and controlled;*

d) *Work products are reviewed in accordance with planned arrangements and adjusted as necessary to meet requirements.*

NOTE 1 *Requirements for documentation and control of work products can include requirements for the identification of changes and revision status, approval and re-approval of work products, distribution of work products, and for making relevant versions of applicable work products available at points of use.*

NOTE 2 *The work products referred to in this Clause are those that result from the achievement of the process purpose through the process outcomes.*

6.2.4.3.2 Generic practices for PA.2.2

PA.2.2.GP1 Define the requirements for the work products. The requirements for the work products to be produced are defined. Requirements may include defining contents and structure. Quality criteria of the work products are identified. Appropriate review and approval criteria for the work products are defined.
PA.2.2.GP2 Define the requirements for documentation and control of the work products**.** Requirements for the documentation and control of the work products are defined. Such requirements may include requirements for (1) distribution, (2) identification of work products and their components (3) traceability. Dependencies between work products are identified and understood. Requirements for the approval of work products to be controlled are defined.

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PA.2.2.GP3 Identify, document and control the work products. The work products to be controlled are identified. Change control is established for work products. The work products are documented and controlled in accordance with requirements. Versions of work products are assigned to product configurations as applicable. The work products are made available through appropriate access mechanisms. The revision status of the work products may readily be ascertained.
PA.2.2.GP4 Review and adjust work products to meet the defined requirements. Work products are reviewed against the defined requirements in accordance with planned arrangements. Issues arising from work product reviews are resolved.

6.2.4.3.3 Generic resources for PA.2.2

— Requirement management method / toolset; [PA.2.2 outcome a, b, c]

— Configuration management system; [PA.2.2 outcome b, c]

— Documentation elaboration and support tool; [PA.2.2 outcome b, c]

— Document identification and control procedure; [PA.2.2 outcome b, c]

— Work product review methods and experiences; [PA.2.2 outcome d]

— Review management method / toolset; [PA.2.2 outcome d]

— Intranets, extranets and/or other communication mechanisms; [PA.2.2 outcome b, c]

— Problem and issue management mechanisms. [PA.2.2 outcome d]

6.2.4.3.4 Generic work products for PA.2.2

4.0 Plan [PA 2.2 outcome b]

— Expresses selected policy or strategy to manage work products.

— Describes requirements to develop, distribute, and maintain the work products.

— Defines quality control actions needed to manage the quality of the work product.

7.0 Product [PA 2.2 outcome a, b, c, d]

— Demonstrates process specific work products to be managed.

8.0 Record [PA 2.2 outcome c, d]

— Records the status of documentation or work product.

— Demonstrates work product reviews and contributes to traceability.

— Describes non-conformance detected during work product reviews.

— Provides evidence that the changes are under control.

10.0 Repository [PA 2.2 outcome c]

— Contains and makes available work products and/or configuration items.

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— Supports monitoring of changes to work products.

12.0 Specification [PA 2.2 outcome a, b]

— Defines the attributes associated with a work product to be created.

— Defines the functional and non-functional requirements for work products.

— Identifies work product dependencies.

— Identifies approval criteria for documents.

6.2.5 Process capability Level 3: Established process

6.2.5.1 General

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

The following process attributes, together with the previously defined process attributes, demonstrate the achievement of this level:

6.2.5.2 PA.3.1 Process definition process attribute

6.2.5.2.1 General

The process definition process attribute is a measure of the extent to which a standard process is maintained to support the deployment of the defined process. As a result of full achievement of this process attribute:

a) *A standard process, including appropriate tailoring guidelines, is defined and maintained that describes the fundamental elements that must be incorporated into a defined process;*

b) *The sequence and interaction of the standard process with other processes is determined;*

c) *Required competencies and roles for performing the process are identified as part of the standard process;*

d) *Required infrastructure and work environment for performing the process are identified as part of the standard process;*

e) *Suitable methods and measures for monitoring the effectiveness and suitability of the process are determined.*

6.2.5.2.2 Generic practices for PA.3.1

PA.3.1.GP1 Define the standard process that will support the deployment of the defined process. A standard process is developed that includes the fundamental process elements. The standard process identifies the deployment needs and deployment context. Guidance and/or procedures are provided to support implementation of the process as needed. Appropriate tailoring guideline(s) are available as needed.
PA.3.1.GP2 Determine the sequence and interaction between processes so that they work as an integrated system of processes. The standard process's sequence and interaction with other processes are determined. Deployment of the standard process as a defined process maintains integrity of processes.

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PA.3.1.GP3 Identify the roles and competencies for performing the standard process. Process performance roles are identified. Competencies for performing the process are identified.
PA.3.1.GP4 Identify the required infrastructure and work environment for performing the standard process. Process infrastructure components are identified (facilities, tools, networks, methods, etc). Work environment requirements are identified.
PA.3.1.GP5 Determine suitable methods and measures to monitor the effectiveness and suitability of the standard process. Methods and measures for monitoring the effectiveness and suitability of the process are determined. Appropriate criteria and data needed to monitor the effectiveness and suitability of the process are defined. The need to conduct internal audit and management review is established. Process changes are implemented to maintain the standard process.

6.2.5.2.3 Generic resources for PA.3.1

— Process modelling methods / tools; [PA.3.1 outcome a, b, c, d]

— Training material and courses; [PA.3.1 outcome a, b, c]

— Resource management system; [PA.3.1 outcome b, c]

— Process infrastructure; [PA.3.1 outcome a, b]

— Audit and trend analysis tools; [PA.3.1 outcome e]

— Process monitoring method. [PA.3.1 outcome e]

6.2.5.2.4 Generic work products for PA.3.1

3.0 Description [PA 3.1 outcome a, b, c, e]

— Describes the standard process, including the fundamental process elements, interactions with other processes and appropriate tailoring guidelines.

— Addresses the performance, management and deployment of the process, as described by capability levels 1 and 2 and the PA 3.2 Process deployment attribute.

— Addresses methods to monitor process effectiveness and suitability.

— Identifies data and records to be collected when performing the defined process, in order to improve the standard process.

— Identifies and communicates the personnel competencies, roles and responsibilities for the standard and defined process.

— Identifies the personnel performance criteria for the standard and defined process.

— Identifies the tailoring guidelines for the standard process.

— Identifies process measures.

4.0 Plan [PA 3.1 outcome c, d]

— Identifies approaches for defining, maintaining and supporting a standard process, including infrastructure, work environment, training, internal audit and management review.

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5.0 Policy [PA 3.1 outcome a, b, c, d, e]

— Provides evidence of organizational commitment to maintain a standard process to support the deployment of the defined process.

10.0 Repository [PA 3.1 outcome d]

— Is used to support and maintain the standard process assets.

12.0 Specification [PA 3.1 outcome a]

— Provides reference for the standards used by the standard process and identification about how they are used.

6.2.5.3 PA.3.2 Process deployment process attribute

6.2.5.3.1 General

The process deployment process attribute is a measure of the extent to which the standard process is deployed as a defined process to achieve its process outcomes. As a result of full achievement of this process attribute:

a) *A defined process is deployed based upon an appropriately selected and/or tailored standard process;*

b) *Required roles, responsibilities and authorities for performing the defined process are assigned and communicated;*

c) *Personnel performing the defined process are competent on the basis of appropriate education, training, and experience;*

d) *Required resources and information necessary for performing the defined process are made available, allocated and used;*

e) *Required infrastructure and work environment for performing the defined process are made available, managed and maintained;*

f) *Appropriate data are collected and analysed as a basis for understanding the behaviour of the process, to demonstrate the suitability and effectiveness of the process, and to evaluate where continual improvement of the process can be made.*

6.2.5.3.2 Generic practices for PA.3.2

PA.3.2.GP1 Deploy a defined process that satisfies the context specific requirements of the use of the standard process. The defined process is appropriately selected and/or tailored from the standard process. Conformance of defined process with standard process requirements is verified.
PA.3.2.GP2 Assign and communicate roles, responsibilities and authorities for performing the defined process. The roles for performing the defined process are assigned and communicated. The responsibilities and authorities for performing the defined process are assigned and communicated.
PA.3.2.GP3 Ensure necessary competencies for performing the defined process. Appropriate competencies for assigned personnel are identified. Suitable training is available for those deploying the defined process.

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PA.3.2.GP4 Provide resources and information to support the performance of the defined process. Required human resources are made available, allocated and used. Required information to perform the process is made available, allocated and used.
PA.3.2.GP5 Provide adequate process infrastructure to support the performance of the defined process. Required infrastructure and work environment is available. Organizational support to effectively manage and maintain the infrastructure and work environment is available. Infrastructure and work environment is used and maintained.
PA.3.2.GP6 Collect and analyse data about performance of the process to demonstrate its suitability and effectiveness. Data required to understand the behaviour, suitability and effectiveness of the defined process are identified. Data are collected and analysed to understand the behaviour, suitability and effectiveness of the defined process. Results of the analysis are used to identify where continual improvement of the standard and/or defined process can be made.

6.2.5.3.3 Generic resources for PA.3.2

— Feedback mechanisms (customer, staff, other stakeholders); [PA.3.2 outcome f]

— Process repository; [PA.3.2 outcome a, b]

— Resource management system; [PA.3.2 outcome b, c, d]

— Knowledge management system; [PA.3.2 outcome d]

— Problem and change management system; [PA.3.2 outcome f]

— Working environment and infrastructure; [PA.3.2 outcome e]

— Data collection analysis system: [PA.3.2 outcome f]

— Process assessment framework; [PA.4.1 outcome f]

— Audit / review system. [PA.3.2 outcome f]

6.2.5.3.4 Generic work products for PA.3.2

2.0 Data [PA 3.2 outcome f]

— Provides evidence that the project's defined process performance data was collected.

4.0 Plan [PA 3.2 outcome a, b, f]

— Expresses the strategy for the organizational support, allocation and use of the process infrastructure.

— Describes the project's resources and the elements of the infrastructure needed to deploy the defined process.

— Expresses the strategy to satisfy the project's training needs.

— Identifies process improvement proposal(s) based on analysis of suitability and effectiveness.

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3.0 Description [PA 3.2 outcome a]

— Describes the defined process for use by the project.

— Describes the verification activities needed to ensure the conformance of the project's defined process with the organization's standard process.

— Represents the interactions of the project's defined process with other processes.

8.0 Record [PA 3.2 outcome a, b, c, d, e, f]

— Captures the project's work breakdown structure needed to define the tasks and their dependencies.

— Provides evidence that the project personnel possess the required authorities, skills, experience and knowledge.

— Provides evidence that project personnel have received the required training to satisfy the needs of the project.

— Provides evidence that project infrastructure and working environment are made available and maintained for performing the defined process.

— Records the status of required corrective actions.

9.0 Report [PA 3.2 outcome f]

— Provides results of the analysis, recommended corrective action, feedback to the process owner and to the organization's standard process.

— Identifies improvement opportunities of the defined process.

— Provides evidence on the suitability and effectiveness of the defined process.

10.0 Repository [PA 3.2 outcome d]

— Provides evidence that information is made available for performing the defined process.

12.0 Specification [PA 3.2 outcome f]

— Provides a basis to analyse data associated with the performance of the defined process.

6.2.6 Process capability Level 4: Predictable process

6.2.6.1 General

The previously described *Established process* now operates predictively 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.

The following process attributes, together with the previously defined process attributes, demonstrate the achievement of this level:

6.2.6.2 PA.4.1 Quantitative analysis process attribute

6.2.6.2.1 General

The quantitative analysis process attributes a measure of the extent to which information needs are defined, relationships between process elements are identified and data are collected. As a result of full achievement of this process attribute:

a) *The process is aligned with quantitative business goals;*

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b) *Process information needs in support of relevant defined quantitative business goals are established;*

c) *Process measurement objectives are derived from process information needs;*

d) *Measurable relationships between process elements that contribute to the process performance are identified;*

e) *Quantitative objectives for process performance in support of relevant business goals are established;*

f) *Appropriate measures and frequency of measurement are identified and defined in line with process measurement objectives and quantitative objectives for process performance;*

g) *Results of measurement are collected, validated and reported in order to monitor the extent to which the quantitative objectives for process performance are met;*

NOTE 1 *Information needs typically reflect management, technical, project, process or product needs.*

NOTE 2 *Measures can be either process measures or product measures or both.*

6.2.6.2.2 Generic practices for PA.4.1

PA.4.1.GP1 Align the process with quantitative business goals. Quantitative business goals relevant to the process are identified. The process supports achievement of the identified business goals.
PA.4.1.GP2 Identify process information needs, in relation to quantitative business goals. Business goals relevant to establishing quantitative process measurement objectives for the process are identified. Process stakeholders are identified and their information needs are defined. Information needs are relevant to the quantitative business goals.
PA.4.1.GP3 Derive process measurement objectives from process information needs. Process measurement objectives to satisfy defined process information needs are defined.
PA.4.1.GP4 Identify measurable relationships between process elements that contribute to the process performance. Relationships between process elements are determined. Measures of process performance are justifiable.
PA.4.1.GP5 Establish quantitative objectives for the performance of the defined process, according to the alignment of the process with the business goals. Process performance objectives are defined to explicitly reflect the quantitative business goals. Process performance objectives are verified with process stakeholders to be realistic and useful.
PA.4.1.GP6 Identify product and process measures that support the achievement of the quantitative objectives for process performance. Detailed measures are defined to support monitoring, analysis and verification needs of process and product goals. Measures to satisfy process measurement and performance objectives are defined. Frequency of data collection is defined. Algorithms and methods to create derived measurement results from base measures are defined, as appropriate. Verification mechanism for base and derived measures is defined.

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PA.4.1.GP7 Collect product and process measurement results through performing the defined process.
Data collection mechanism is created for all identified measures.
Required data is collected in an effective and reliable manner.
Measurement results are created from the collected data within defined frequency.
Analysis of measurement results is performed within defined frequency.
Measurement results are validated to confirm that the results fulfil the process information needs.
Measurement results are reported to those responsible for monitoring the extent to which quantitative objectives are met.

6.2.6.2.3 Generic resources for PA.4.1

— Management information (cost, time, reliability, profitability, customer benefits, risks etc.); [PA.4.1 outcome a, b, c, d, e, f, g]

— Applicable measurement techniques; [PA.4.1 outcome f]

— Product and process measurement tools and results databases; [PA.4.1 outcome f, g]

— Process measurement framework; [PA.4.1 outcome d, e, f, g]

— Tools for data analysis and measurement. [PA.4.1 outcome c, d, e, f, g]

6.2.6.2.4 Generic work products for PA.4.1

2.0 Data [PA 4.1 outcome g]

— Defines data to be collected as specified in plans and measures.

3.0 Description [PA 4.1 outcome a, b, d, f]

— Defines information needs for the process.

— Specifies candidate measures.

4.0 Plan [PA 4.1 outcome a, b, c, e, f]

— Identifies the objective to be achieved.

— Describes process performance goals aligned with business goals and context-specific other relevant goals.

— Defines quantitative objectives for process performance.

— Specifies measures for the process.

— Defines tasks and schedules to collect and analyse data.

— Allocates responsibilities and resources for measurement.

9.0 Report [PA 4.1 outcome g]

— Provides results of process data analysis to identify process performance parameters.

12.0 Specification [PA 4.1 outcome b, c, f]

— Describes information needs and performance objectives.

— Provides a basis for analyzing process performance.

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— Defines explicit criteria for data validation.

— Defines frequency of data collection.

6.2.6.3 PA.4.2 Quantitative control process attribute

6.2.6.3.1 General

The quantitative control process attribute is a measure of the extent to which objective data are used to manage process performance that is predictable. As a result of full achievement of this process attribute:

a) *Techniques for analysing the collected data are selected;*

b) *Assignable causes of process variation are determined through analysis of the collected data;*

c) *Distributions that characterize the process performance are established;*

d) *Corrective actions are taken to address assignable causes of variation;*

e) *Separate distributions are established (as necessary) for analysing the process under the influence of assignable causes of variation;*

6.2.6.3.2 Generic practices for PA.4.2

PA.4.2.GP1 Select analysis techniques, appropriate to collected data. Process control analysis methods and techniques are defined. Selected techniques are validated against process control objectives.
PA.4.2.GP2 Determine assignable causes of process variation by analysing the collected data. Variation in process performance is attributed to a specific, unpredictable cause. Assignable cause indicates a possible problem in the defined process.
PA.4.2.GP3 Establish distributions that characterize the process performance. Variation in measurement results is used to analyse process performance. Deviations are analysed to identify potential cause(s) of variation. Trends of process performance are identified.
PA.4.2.GP4 Identify and implement corrective actions to address assignable causes. Results are provided to those responsible for taking action. Corrective actions are determined to address each assignable cause. Corrective actions are implemented to address assignable causes of variation. Corrective action results are monitored. Corrective actions are evaluated to determine their effectiveness.
PA.4.2.GP5 Establish separate distributions for analysing the process under the influence of assignable causes of variation. Consequences of process variation are analysed. Distributions are used to quantitatively understand process performance.

6.2.6.3.3 Generic resources for PA.4.2

— Process control and analysis techniques; [PA.4.2 outcome a, b]

— Statistical analysis tools / applications; [PA.4.2 outcome b, c, e]

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— Process control tools / applications. [PA.4.2 outcome c, d, e]

6.2.6.3.4 Generic work products for PA.4.2

2.0 Data [PA 4.2 outcome b]

— Provides measurement data to identify assignable causes of variation.

3.0 Description [PA 4.2 outcome b, c, e]

— Defines parameters for process control.

— Defines and maintains limits for variation.

4.0 Plan [PA 4.2 outcome a]

— Defines analysis methods and techniques at detailed level.

8.0 Record [PA 4.2 outcome c, d, e]

— Provides information on defects and problems.

— Records the changes.

— Documents corrective actions to be implemented.

— Monitors the status of corrective actions.

9.0 Report [PA 4.2 outcome a, c, d, e]

— Provides analysed measurement results of process performance.

— Identifies corrective actions to address assignable causes of variation.

— Ensures that selected techniques are effective and measures are validated.

10.0 Repository [PA 4.2 outcome a, b, c, d, e]

— Collects the data and provides the basis for analysis, corrective actions and results reporting.

12.0 Specification [PA 4.2 outcome a, b, e]

— Defines the method for collecting data.

— Measures the efficiency of the process.

6.2.7 Process capability Level 5: Innovating process

6.2.7.1 General

The previously described *Predictable process* is now continually improved to respond to organizational change.

The following process attributes, together with the previously defined process attributes, demonstrate the achievement of this level:

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6.2.7.2 PA.5.1 Process innovation process attribute

6.2.7.2.1 General

The process innovation process attribute is a measure of the extent to which changes to the process are identified from investigations of innovative approaches to the definition and deployment of the process. As a result of full achievement of this process attribute:

a) *Process innovation objectives are defined that support the relevant business goals;*

b) *Appropriate data are analysed to identify opportunities for best practice and innovation;*

c) *Innovation opportunities derived from new technologies and process concepts are identified;*

d) *An implementation strategy is established to achieve the process innovation objectives.*

6.2.7.2.2 Generic practices for PA.5.1

PA.5.1.GP1 Define the process innovation objectives for the process that support the relevant business goals. Directions to process innovation are set. New business visions and goals are analysed to give guidance for new process objectives and potential areas of process change. Quantitative and qualitative process innovation objectives are defined and documented.
PA.5.1.GP2 Analyse data of the process to identify opportunities for best practice and innovation. Feedback on opportunities for innovation is actively sought. Innovation opportunities are identified. Industry best practices are identified and evaluated.
PA.5.1.GP3 Identify innovation opportunities of the process from new technologies and process concepts. Impact of new technologies on process performance is identified and evaluated. Impact of new process concepts is identified and evaluated. Innovation opportunities are identified. Emergent risks are considered in identifying innovation opportunities.
PA.5.1.GP4 Define an implementation strategy based on long-term innovation vision and objectives. Commitment to innovation is demonstrated by organizational management and process owner(s). Proposed process changes are evaluated and piloted to determine their benefits and expected impact on defined business objectives. Changes are classified and prioritized based on their impact on defined innovation objectives**.** Measures that validate the results of process changes are defined to determine expected effectiveness of the process change. Implementation of the approved change(s) is planned as an integrated program or project. Implementation plan and impact on business goals are discussed and reviewed by organizational management.

6.2.7.2.3 Generic resources for PA.5.1

— Process innovation framework; [PA.5.1 outcome a, c, d]

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— Process feedback and analysis system (measurement data, causal analysis results etc.); [PA.5.1 outcome b]

— Piloting and trialling mechanism. [PA.5.1 outcome b, c]

6.2.7.2.4 Generic work products for PA.5.1

2.0 Data [PA 5.1 outcome b, c]

— Provides analytical data to identify opportunities for best practice and innovation.

3.0 Description [PA 5.1 outcome c, d]

— Identifies potential areas of innovation and new technology.

4.0 Plan [PA 5.1 outcome a, d]

— Define and maintain business goals.

— Provides evidence of management commitment.

— Defines innovation objectives for the process

— Allocates resources for innovation activities.

— Schedules activities for root cause analysis.

— Defines an approach to implementing selected innovations.

— Identifies scope of pilot innovation activities.

5.0 Policy [PA 5.2 outcome a]

— Establishes expectations for conduct and evaluation of pilot innovations.

8.0 Record [PA 5.1 outcome c, d]

— Identifies potential innovation opportunities.

— Records information on new technology and techniques.

9.0 Report [PA 5.1 outcome b, c]

— Identifies potential innovations and process changes.

6.2.7.3 PA.5.2 Process innovation implementation process attribute

6.2.7.3.1 General

The process innovation implementation process attribute is a measure of the extent to which changes to the definition, management and performance of the process achieves the relevant process innovation objectives. As a result of full achievement of this process attribute:

a) *Impact of all proposed changes is assessed against the objectives of the defined process and standard process;*

b) *Implementation of all agreed changes is managed to ensure that any disruption to the process performance is understood and acted upon;*

c) *Effectiveness of process change on the basis of actual performance is evaluated against the defined product requirements and process objectives.*

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6.2.7.3.2 Generic practices of PA.5.2

PA.5.2.GP1 Assess the impact of each proposed change against the objectives of the defined and standard process. Objective priorities for process innovation are established. Specified changes are assessed against product quality and process performance requirements and goals. Impact of changes to other defined and standard processes is considered.
PA.5.2.GP2. **Manage the implementation of agreed changes** to selected areas of the defined and standard process according to the implementation strategy. A mechanism is established for incorporating accepted changes into the defined and standard process(es) effectively and completely. The factors that impact the effectiveness and full deployment of the process change are identified and managed, such as: — Economic factors (productivity, profit, growth, efficiency, quality, competition, resources, and capacity); — Human factors (job satisfaction, motivation, morale, conflict / cohesion, goal consensus, participation, training, span of control); — Management factors (skills, commitment, leadership, knowledge, ability, organizational culture and risks); — Technology factors (sophistication of system, technical expertise, development methodology, need of new technologies). Training is provided to users of the process. Process changes are effectively communicated to all affected parties. Records of the change implementation are maintained.
PA.5.2.GP3 Evaluate the effectiveness of process change on the basis of actual performance against process performance and capability objectives and business goals. Performance and capability of the changed process are measured and compared with historical data. A mechanism is available for documenting and reporting analysis results to management and owners of standard and defined process. Measures are analysed to evaluate the effectiveness of process changes. Other feedback is recorded, such as opportunities for further innovation of the standard process.

6.2.7.3.3 Generic resources for PA.5.2

— Change management system; [PA.5.2 outcome a, b, c]

— Process evaluation system (impact analysis, etc.). [PA.5.2 outcome a, c]

6.2.7.3.4 Generic work products for PA.5.2

3.0 Description [PA 5.2 outcome b]

— Documents changes as a result of process innovation actions.

4.0 Plan [PA 5.2 outcome a, b]

— Defines activities and schedule for pilot change implementation.

— Allocates resources for pilot implementation.

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— Assigns responsibility for pilot implementation.

— Defines activities and schedule for organizational implementation of process change.

— Allocates resources and responsibilities for organizational implementation.

— Specifies scope of pilot implementation of proposed change.

8.0 Record [PA 5.2 outcome b]

— Contains records of all completed and in-progress pilot implementations.

— Records history of and justification for changes.

9.0 Report [PA 5.2 outcome a, b, c]

— Describes results of pilot implementation of process change.

— Evaluates effectiveness of process compared to process innovation objectives.

— Provides details on implementation of organizational changes.

— Describes proposed changes to standard and defined process.

12.0 Specification [PA 5.2 outcome c]

— Specifies measures derived from process innovation objectives.

6.3 Related processes for process attributes

Certain processes support achievement of the capabilities addressed by a process attribute. Table 2 lists those processes and indicates the relation between those processes and each process attribute (PA). This information can be used in planning process assessments and in analysis and validation of the assessment results.

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Table 2 — Related processes for process attributes

Related processes	Process attributes							
	PA 2.1	**PA 2.2**	**PA 3.1**	**PA 3.2**	**PA 4.1**	**PA 4.2**	**PA 5.1**	**PA 5.2**
COM.01 Communication	X							
COM.02 Documentation management		X						
COM.03 Human resource management	X		X	X				
COM.04 Improvement				X				
COM.05 Internal audit		X						
COM.06 Management review				X				
COM.07 Non-conformity management		X						
COM.08 Operational planning	X		X					
COM.09 Operational implementation and control		X		X				
COM.10 Performance evaluation				X	X	X		
COM.11 Risk management	X			X			X	
RAA.1 Business relationship management	X							
RAA.2 Service level management	X							
RAA.3 Service reporting	X							
RAA.4 Supplier management	X							
RAA.5 Service catalogue management	X							
RAF.1 Incident management		X		X				
RAF.2 Service request management		X		X				
RAF.3 Problem management		X		X				
SAD.1 Budgeting and accounting for services			X	X				
SAD.2 Demand management			X	X				
SAD.3 Capacity management			X	X				
SAS.1 Service availability management			X	X				
SAS.2 Service continuity management			X	X				
SAS.3 Information security management			X	X				
SDB.1 Service requirements								
SDB.2 Service design								
SDB.3 Service transition								
SDB.4 Release and deployment management								
SDE.1 Service delivery								
SPC.1 Change management		X						
SPC.2 Configuration management		X						
TOP.1 Leadership							X	X

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Annex A
(informative)

Conformity of the process assessment model

A.1 General

This document sets out a process assessment model that meets the requirements for conformance defined in ISO/IEC 33004. The process assessment model can be used in the performance of assessments that meet the requirements of ISO/IEC 33002. It may also be used as an example for a process assessment model developer.

This annex serves as the statement of conformance of the process assessment model to the requirements defined in ISO/IEC 33004. For ease of reference, the requirements from ISO/IEC 33004:2015, Clause 6 are embedded verbatim in the text of this annex. They should not be construed as normative elements of this document.

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A.2 Requirements for process assessment models

A.2.1 General

> *This International Standard sets out the requirements that shall be met by process models used to support process assessment. A process assessment model shall be based upon a suitable reference source of process definitions based on one or more process reference model(s) as described in* Clause 5. *The requirements to be met by a process assessment model in order to claim conformance through its relationship with specific process reference model(s) are defined in* Clause 6.
>
> *[ISO/IEC 33004:2015, Clause 4]*

The purpose of this process assessment model is to support assessment of process capability using the process measurement framework defined in ISO/IEC 33020.

A.2.2 Process assessment model scope

> *Processes in a process assessment model are based on the process descriptions provided in process reference model(s); process attributes and process quality levels (if applicable) are based on the process measurement framework.*
>
> *In order to assure that assessment results are translatable into a set of process profiles in a repeatable and reliable manner, process assessment models shall adhere to certain requirements.*
>
> *[ISO/IEC 33004:2015, 6.2]*

The process capability scope of this process assessment model is defined in the process measurement framework specified in ISO/IEC 33020, which defines a process measurement framework for process capability satisfying the requirements of ISO/IEC 33003.

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A.2.3 Requirements for process assessment models

6.3.1 A process assessment model shall relate to a single process quality characteristic.

6.3.2 A process assessment model shall incorporate a single process measurement framework, conformant with ISO/IEC 33003:2015, based on the selected process quality characteristic.

6.3.3 A process assessment model shall be based on one or more process reference models and a process measurement framework.

6.3.4 A process assessment model shall relate to at least one process from the selected process reference model(s).

6.3.5 A process assessment model shall declare its scope of coverage in the terms of:

a) *the selected process quality characteristic;*

b) *the selected process measurement framework;*

c) *the selected process reference model(s);*

d) *the selected processes from the process reference model(s);*

e) *the process attributes and (if relevant) the process quality levels of the process quality characteristic selected from the process measurement framework.*

6.3.6 If the selected process measurement framework provides a nominal scale, then the process assessment model shall, for a given process, address all of the defined process attributes, including the process performance attribute.

6.3.7 If the process measurement framework provides an ordinal or interval scale, then the process assessment model shall address, for a given process, all, or a continuous subset, of the levels (starting at process quality level 1) of the process measurement framework for the process quality characteristic for each of the processes within its scope.

[ISO/IEC 33004:2015, 6.3]

In the capability dimension of this process assessment model, the model addresses all of the process attributes and capability levels defined in the process measurement framework in ISO/IEC 33020:2019, Clause 5.

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A.2.4 Assessment indicators

A process assessment model shall be based on a set of assessment indicators that:

a) *explicitly address the purpose and process outcomes, as defined in the selected process reference model, of each of the processes within the scope of the process assessment model;*

b) *demonstrate the achievement of the process attributes within the scope of the process assessment model;*

c) *demonstrate the achievement (where relevant) of the process quality levels within the scope of the process assessment model.*

The assessment indicators generally fall into three types:

a) *practices that support achievement of either the process purpose or the specific process attribute.*

b) *information items and their characteristics that demonstrate the respective achievements.*

c) *resources and infrastructure that support the respective achievements.*

[ISO/IEC 33004:2015, 6.3.8]

The process assessment model provides a two-dimensional view of process capability for the processes in the process reference model, through the inclusion of assessment indicators as shown in Figure 4. The assessment Indicators used are:

— base practices and work products; and

— generic practices, generic resources and generic work products

as shown in Figure 3. They support the judgment of the performance and capability of an implemented process.

A.2.5 Mapping process assessment models to process reference models

6.3.9 Mapping process assessment models

A process assessment model shall provide explicit mapping from the relevant elements of the process assessment model to the processes of the selected process reference model(s), and to the relevant process attributes of the selected process measurement framework. The mappings shall be complete, clear and unambiguous.

This enables process assessment models that are structurally different to be related to the same process reference model(s) and the process measurement framework.

6.3.9.1 Mapping to process reference models

The mapping of the assessment indicators within the process assessment model shall be to the purpose and process outcomes of the processes in the selected process reference model;

6.3.9.2 Mapping to process measurement framework

The mapping of the assessment indicators within the process assessment model shall be to the process attributes (including all the process attribute outcomes listed for each process attribute) in the process measurement framework.

[ISO/IEC 33004:2015, 6.3.9]

Each of the processes in this process assessment model is identical in scope to the process defined in the process reference model. Each base practice and work product is cross-referenced to the process

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outcomes it addresses. All work products relate as inputs or outputs to the process as a whole — see mappings in Clause 5.

Each of the process attributes in this process assessment model is identical to the process attribute defined in the process measurement framework. The generic practices address the process attribute outcomes from each process attribute. The generic resources and generic work products relate to the process attribute as a whole.

Table A.1 lists the mappings of the GPs to the achievements associated with each process attribute.

Table A.1 — Mapping of generic practices

GP	Practice name	Maps to
PA.1.1: Process performance process attribute		
PA.1.1.GP1	Achieve the process outcomes.	PA.1.1 a
PA.2.1: Performance management process attribute		
PA.2.1.GP1	Identify the objectives for the performance of the process.	PA.2.1 a
PA.2.1.GP2	Plan the performance of the process to fulfil the identified objectives.	PA.2.1 b
PA.2.1.GP3	Monitor the performance of the process against the plans.	PA.2.1 c
PA.2.1.GP4	Adjust the performance of the process.	PA.2.1 d
PA.2.1.GP5	Define responsibilities and authorities for performing the process.	PA.2.1 e
PA.2.1.GP6	Prepare those performing the process to execute their responsibilities.	PA.2.1 f
PA.2.1.GP7	Identify and make available resources to perform the process according to plan.	PA.2.1 g
PA.2.1.GP8	Manage the interfaces between involved parties.	PA.2.1 h
PA.2.2: Work product management process attribute		
PA.2.2.GP1	Define the requirements for the work products.	PA.2.2 a
PA.2.2.GP2	Define the requirements for documentation and control of the work products.	PA.2.2 b
PA.2.2.GP3	Identify, document and control the work products.	PA.2.2 c
PA.2.2.GP4	Review and adjust work products to meet the defined requirements.	PA.2.2 d
PA.3.1: Process definition process attribute		
PA.3.1.GP1	Define the standard process that will support the deployment of the defined process.	PA.3.1 a
PA.3.1.GP2	Determine the sequence and interaction between processes so that they work as an integrated system of processes.	PA.3.1 b
PA.3.1.GP3	Identify the roles and competencies for performing the standard process.	PA.3.1 c
PA.3.1.GP4	Identify the required infrastructure and work environment for performing the standard process.	PA.3.1 d
PA.3.1.GP5	Determine suitable methods and measures to monitor the effectiveness and suitability of the standard process.	PA.3.1 e
PA.3.2: Process deployment process attribute		
PA.3.2.GP1	Deploy a defined process that satisfies the context specific requirements of the use of the standard process.	PA.3.2 a
PA.3.2.GP2	Assign and communicate roles, responsibilities and authorities for performing the defined process.	PA.3.2 b
PA.3.2.GP3	Ensure necessary competencies for performing the defined process.	PA.3.2 c

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Table A.1 *(continued)*

GP	Practice name	Maps to
PA.3.2.GP4	Provide resources and information to support the performance of the defined process.	PA.3.2 d
PA.3.2.GP5	Provide adequate process infrastructure to support the performance of the defined process.	PA.3.2 e
PA.3.2.GP6	Collect and analyse data about performance of the process to demonstrate its suitability and effectiveness.	PA.3.2f
PA.4.1 Quantitative analysis process attribute		
PA.4.1.GP1	Align the process with quantitative business goals.	PA.4.1 a
PA.4.1.GP2	Identify process information needs, in relation with quantitative business goals.	PA.4.1 b
PA.4.1.GP3	Derive process measurement objectives from process information needs.	PA.4.1 c
PA.4.1.GP4	Identify measurable relationships between process elements that contribute to the process performance.	PA.4.1 d
PA.4.1.GP5	Establish quantitative objectives for the performance of the defined process, according to the alignment of the process with the business goals.	PA.4.1 e
PA.4.1.GP6	Identify product and process measures that support the achievement of the quantitative objectives for process performance.	PA.4.1 f
PA.4.1.GP7	Collect product and process measurement results through performing the defined process.	PA.4.1 g
PA.4.2 Quantitative control process attribute		
PA.4.2.GP1	Select analysis techniques, appropriate to collected data.	PA.4.2 a
PA.4.2.GP2	Determine assignable causes of process variation by analysing the collected data.	PA.4.2 b
PA.4.2.GP3	Establish distributions that characterize the process performance.	PA.4.2 c
PA.4.2.GP4	Identify and implement corrective actions to address assignable causes.	PA.4.2 d
PA.4.2.GP5	Establish separate distributions for analysing the process under the influence of assignable causes of variation.	PA.4.2 e
PA.5.1 Process innovation process attribute		
PA.5.1.GP1	Define the process innovation objectives for the process that support the relevant business goals.	PA.5.1 a
PA.5.1.GP2	Analyse data of the process to identify opportunities for best practice and innovation.	PA.5.1 b
PA.5.1.GP3	Identify innovation opportunities of the process from new technologies and process concepts.	PA.5.1 c
PA.5.1.GP4	Define an implementation strategy based on long-term innovation vision and objectives.	PA.5.1 d
PA.5.2 Process innovation implementation process attribute		
PA.5.2.GP1	Assess the impact of each proposed change against the objectives of the defined and standard process.	PA.5.2 a
PA.5.2.GP2	Manage the implementation of agreed changes to selected areas of the defined and standard process according to the implementation strategy.	PA.5.2 b

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Table A.1 *(continued)*

GP	Practice name	Maps to
PA.5.2.GP3	Evaluate the effectiveness of process change on the basis of actual performance against process performance and capability objectives and business goals.	PA.5.2 c

A.2.6 Expression of assessment results

> *A process assessment model shall provide a formal and verifiable mechanism for representing the results of an assessment as a set of process attribute ratings for each assessed process (the process profiles) selected from the process reference model(s).*
>
> *[ISO/IEC 33004:2015, 6.3.10]*

The process attributes and the process attribute ratings in this process assessment model are identical to those defined in the measurement framework. Consequently, results of assessments based upon this process assessment model are expressed directly as a set of process attribute ratings for each process within the scope of the assessment. No translation or conversion is required.

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Annex B
(informative)

Input and output characteristics

B.1 General

Characteristics of inputs and outputs listed in this annex can be used when reviewing potential inputs and outputs of process implementation. The characteristics are provided as guidance for the attributes to look for to provide objective evidence supporting the assessment of a particular process.

A documented process and assessor judgment is needed to ensure that the process context (application domain, business purpose, development methodology, size of the organization, etc.) is considered when using this information. Inputs and outputs are defined using the schema in Table B.1. Inputs and outputs and their characteristics should be considered as a starting point for determining whether, given the context, they are contributing to the intended purpose of the process.

Table B.1 — Input/Output identification

Input/Output identifier #	An identifier number for the input/output which is used to reference the input/output.
Input/Output name	Provides an example of a typical name associated with the input/output characteristics. This name is provided as an identifier of the type of input/output the practice or process might produce. Organizations may call these input/outputs by different names. The name of the input/output in the organization is not significant. Similarly, organizations may have several equivalent input/outputs which contain the characteristics defined in one input/output type. The formats for the input/outputs can vary. It is up to the assessor and the organizational unit coordinator to map the actual input/outputs produced in their organization to the examples given here.
Category	A group with which an item is associated.
Input/Output characteristics	Provides examples of the potential characteristics associated with the input/output types. The assessor may look for these in the samples provided by the organizational unit.

B.2 Generic input and outputs

The generic work product indicators are sets of characteristics that would be expected to be evident in input/outputs of a generic type as a result of achievement of an attribute. The generic input/outputs support the class structure of the input/outputs defined as process performance indicators. These input/output types are basic input types to process owners of all types of processes. See Table B.2.

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Table B.2 — Generic inputs and outputs

Reference	Category	Purpose	Typical input/output characteristics
1.0	Contract	A contract (or agreement) is the formal agreement between an acquirer and a supplier. Informally, commitments or agreements may be specified between parts of the same organization (sometimes called a memorandum of understanding). [ISO/IEC/IEEE 15289]	A contract or agreement addresses the following: a. identification of the performing organizations and their responsibilities b. statement of work to be performed, with tasks based on a service management process or a system or software life-cycle model, and scope of tasks c. system requirements and software requirements definition and analysis results d. negotiated price and payment schedule e. deliverables, including documentation, records, and off-the-shelf products identified f. schedule for suppliers to deliver the product or service g. proprietary rights to systems and technical data and software intellectual property rights: usage, ownership, warranty and licensing rights h. provisions for monitoring; reporting, verification, validation, and acceptance criteria i. procedures for contract changes, exceptions, resolving disputes, and closeout, such as supplier responsibilities in the event of expected or early termination of the contract or formal agreement and the transfer of services to another party. The contract may specify best practices, to include standards and strategies for processes, activities and tasks.

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Table B.2 *(continued)*

Reference	Category	Purpose	Typical input/output characteristics
2.0	Data	Ordered informational content	a. Result of applying a measure b. Available to those who need to know within defined timeframe
3.0	Description	Information item that represents a planned or actual concept, function, design, or object. [ISO/IEC/IEEE 15289]	A description shall include the following elements: a. Date of issue and status b. Scope c. Issuing organization d. References e. Context f. Notation for description g. Body h. Summary i. Glossary j. Change history
4.0	Plan	Information item that presents a systematic course of action for achieving a declared purpose, including when, how, and by whom specific activities are to be performed. [ISO/IEC/IEEE 15289]	A plan shall include the following elements a. Date of issue and status b. Scope c. Issuing organization d. References (applicable policies, laws, standards, contracts, requirements, and other plans and procedures)

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Table B.2 *(continued)*

Reference	Category	Purpose	Typical input/output characteristics
			e. Approval authority f. Introduction, containing the purpose, audience, and scope of the plan g. Planned activities and tasks h. Identification of tools, methods, and techniques i. Schedules j. Budgets and cost estimates k. Resources and their allocation, including human resources, technical resources (infrastructure), and tools l. Responsibilities and authority, including the senior responsible owner and immediate process or service owner m. Interfaces among parties involved n. Risks and risk identification, assessment and mitigation activities o. Quality assurance and performance measures p. Environment, infrastructure, security, and safety q. Training r. Approach for technical and management review and reporting s. Other plans (plans or task descriptions that expand on the details of a plan) t. Glossary u. Change procedures and history v. Termination process.

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Table B.2 *(continued)*

Reference	Category	Purpose	Typical input/output characteristics
5.0	Policy	Clear and measurable statement of preferred direction and behavior to condition the decisions made within an organization. [ISO/IEC/IEEE 15289]	A policy shall include the following elements: a. Date of issue, effective date, and status) b. Scope c. Issuing organization d. Approval authority and identification of those accountable for enforcing the policy e. Authoritative references for compliance or conformance (such as policies, laws and regulations, standards, contracts, requirements, and vision or mission statements) f. Body, including objectives g. Glossary h. Change history.
6.0	Procedure	Information item that presents an ordered series of steps to perform a process, activity, or task. [ISO/IEC/IEEE 15289]	A procedure shall include the following elements: a. Date of issue and status b. Scope c. Issuing organization d. Approval authority e. Relationship to plans and other procedures f. Authoritative references g. Inputs and outputs h. Ordered description of steps to be taken by each participant i. Error and problem resolution j. Glossary k. Change history.

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Table B.2 *(continued)*

Reference	Category	Purpose	Typical input/output characteristics
7.0	Product	Output of an organization that can be produced without any transaction taking place between the organization and the customer. [ISO 9000:2015, 3.7.6]	Production of a product is achieved without any transaction necessarily taking place between provider and customer, but can often involve this service element upon its delivery to the customer. The dominant element of a product is that it is generally tangible. Hardware is tangible and its amount is a countable characteristic (e.g. types). Processed materials are tangible and their amount is a continuous characteristic (e.g. fuel and soft drinks). Hardware and processed materials are often referred to as goods. Software consists of information regardless of delivery medium (e.g. computer programme, mobile phone app, instruction manual, dictionary content, musical composition copyright, driver's license).
8.0	Record	Set of related data items treated as a unit. [ISO/IEC/IEEE 15289]	A record shall include the following elements: a. Date of record, date recorded, and status b. Scope c. Subject or category d. Issuing organization e. References f. Body g. Unique record identifier
9.0	Report	Information item that describes the results of activities such as investigations, observations, assessments, or tests. [ISO/IEC/IEEE 15289]	A report shall include the following elements: a. Date of issue and status b. Scope c. Issuing organization d. Contributors e. Summary f. Introduction, including the purpose, audience, and scope of the report g. Context (assumptions) h. Body (including methods of obtaining results) i. Conclusions and recommendations j. References k. Bibliography

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Table B.2 *(continued)*

Reference	Category	Purpose	Typical input/output characteristics
10.0	Repository	Storage facility for data	a. Repository for components b. Storage and retrieval capabilities c. Ability to browse content d. Listing of contents with description of attributes e. Sharing and transfer of components between affected groups f. Effective controls over access g. Maintain component descriptions h. Recovery of archive versions of components i. Ability to report component status j. Changes to components are tracked to change / user requests
11.0	Request	Record information needed to solicit a response. [ISO/IEC/IEEE 15289]	A request shall include the following elements: a. Date of initiation b. Scope c. Subject d. Originator of request e. Identification of requested item, service, or response f. Detailed description of requested item, service, or response, including due date g. Justifications.
12.0	Specification	Provide requirements for a required service, product, or process. [ISO/IEC/IEEE 15289]	A specification shall include the following elements: a. Date of issue and status b. Scope c. Issuing organization d. References e. Approval authority f. Body g. Assurance requirements h. Conditions, constraints, and characteristics i. Glossary j. Change history

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B.3 Specific inputs and outputs

Specific outputs are typically created by process owners and applied by process deployers in order to satisfy an outcome of a particular process purpose. See Table B.3.

NOTE 1 The reference scheme for the specific inputs and outputs associates the item to the first reference (direct or implied) to an informational element in a subclause of ISO/IEC 20000-1. The set of items in a category is ordered alphabetically.

NOTE 2 The term 'normative' that appears under the Characteristics column refers to a requirement in ISO/IEC 20000-1 to create an item that contains at least the defined informational characteristics. Where the term 'informative' appears, it implies that the defined characteristics are recommended good practice.

NOTE 3 In some cases there are multiple elements to an information item. A single item (for example 01-2) can have more than one descriptive component to it. These elements are differentiated from each other by means for an element reference. For example, in 01-2 there are two descriptive elements.

Table B.3 — Specific inputs and outputs

Reference	Name	Category	Characteristics
01-1	Service level agreement	Contract	20000-1 3ED IS 8.3.3 2.1 For each service delivered, the organization shall establish one or more SLAs based on the [documented] service requirements. 20000-1 3ED IS 8.3.3 2.2 [For each service delivered, the organization shall establish one or more SLAs based on the] documented service requirements. 20000-1 3ED IS 8.3.3 3. The SLA(s) shall include service level targets, workload limits and exceptions.
01-2	Supplier agreement	Contract	20000-1 3ED IS 8.3.4.1 2.1 For each external supplier, the organization shall agree a [documented] contract. 20000-1 3ED IS 8.3.4.1 2.2 [For each external supplier, the organization shall agree a] documented [contract]. 20000-1 3ED IS 8.3.4.1 3.1 a) The contract shall include or contain a reference to: a) scope of the services, service components, processes or parts of processes to be provided or operated by the external supplier; 20000-1 3ED IS 8.3.4.1 3.2 b) The contract shall include or contain a reference to: b) requirements to be met by the external supplier; 20000-1 3ED IS 8.3.4.1 3.3 c) The contract shall include or contain a reference to: c) service level targets or other contractual obligations;

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
			20000-1 3ED IS 8.3.4.1 3.4 d) The contract shall include or contain a reference to: d) authorities and responsibilities of the organization and the external supplier. 20000-1 3ED IS 8.3.4.1 5. The organization shall define and manage the interfaces with the external supplier. 20000-1 3ED IS 8.3.4.2 1.1 For each internal supplier or customer acting as a supplier, the organization shall develop, agree and maintain a [documented] agreement to define the service level targets, other commitments, activities and interfaces between, the parties. 20000-1 3ED IS 8.3.4.2 1.2 [For each internal supplier or customer acting as a supplier, the organization shall develop, agree and maintain a] documented [agreement to define the service level targets, other commitments, activities and interfaces between, the parties.]
02-01	Auditor list	Data	20000-1 3ED IS 9.2.2 1.5 c) The organization shall: c) select auditors and conduct audits to ensure objectivity and the impartiality of the audit process;
02-02	Configuration item change log	Data	20000-1 3ED IS 8.2.6 5. CIs shall be controlled. 20000-1 3ED IS 8.2.6 7. The configuration information shall be updated following the deployment of changes to CIs. 20000-1 3ED IS 8.2.6 6. Changes to CIs shall be traceable and auditable to maintain the integrity of the configuration information.
02-03	Implemented changes log	Data	20000-1 3ED IS 8.5.1.3 4. Approved changes shall be prepared, verified and, where possible, tested.
02-04	Management review issue log	Data	20000-1 3ED IS 9.3 1.1 Top management shall review the organization's SMS and the services, [at planned intervals,] to ensure their continuing suitability, adequacy and effectiveness. 20000-1 3ED IS 9.3 3. The outputs of the management review shall include decisions related to continual improvement opportunities and any need for changes to the SMS and the services. 20000-1 3ED IS 9.3 4. The organization shall retain documented information as evidence of the results of management reviews.

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
02-05	MS Implementation log	Data	20000-1 3ED IS 8.1 1.1 a) The organization shall plan, implement and control the processes needed to fulfil requirements, and to implement the actions determined in 6 by: a) establishing performance criteria for the processes based on requirements; 20000-1 3ED IS 8.1 1.2 b) The organization shall plan, implement and control the processes needed to fulfil requirements, and to implement the actions determined in 6 by: b) implementing control of the processes in accordance with the established performance criteria; 20000-1 3ED IS 8.1 2.1 The organization shall control planned changes to the SMS and review the consequences of unintended changes, [taking action to mitigate any adverse effects, as necessary (see ISO/IEC 20000-1:2018, 8.5.1).] 20000-1 3ED IS 8.1 2.2 [The organization shall control planned changes to the SMS and review the consequences of unintended changes,] taking action to mitigate any adverse effects, as necessary (see ISO/IEC 20000-1:2018, 8.5.1). 20000-1 3ED IS 8.6.1 4. Major incidents shall be classified and managed according to a documented procedure.
02-06	Problem management known error log	Data	20000-1 3ED IS 8.6.3 7.1 Known errors shall be recorded.
02-07	Release log	Data	20000-1 3ED IS 8.5.3 9. The release shall be deployed into the live environment so that the integrity of the services and service components is maintained.
02-08	Service availability action log	Data	20000-1 3ED IS 8.7.1 6. Unplanned non availability shall be investigated and necessary actions taken.
02-09	Service availability log	Data	20000-1 3ED IS 8.7.1 5.1 Service availability shall be monitored, [the results recorded] and compared with the targets. 20000-1 3ED IS 8.7.1 5.2 Service availability [shall be monitored], the results recorded and compared with the targets.
02-10	Service provider role assignments list	Data	20000-1 3ED IS 8.3.2 3. The organization shall have one or more designated individuals responsible for managing customer relationships and maintaining customer satisfaction.

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
02-11	Service provision complaint resolution log	Data	20000-1 3ED IS 8.6.1 6. The organization shall assign responsibility for managing each major incident. 20000-1 3ED IS 8.3.2 8.1 The results shall be analysed, reviewed [to identify opportunities for improvement and reported.] 20000-1 3ED IS 8.3.2 9. Service complaints shall be recorded, managed to closure and reported. 20000-1 3ED IS 8.3.2 10. Where a service complaint is not resolved through the normal channels, a method of escalation shall be provided.
02-12	Service provision issue log	Data	20000-1 3ED IS 9.4 4. The organization shall make decisions and take actions based on the findings in service reports.
02-13	Service stakeholder list	Data	20000-1 3ED IS 4.2 1.1 The organization shall determine: a) the interested parties that are relevant to the SMS and the services; 20000-1 3ED IS 8.3.2 1.1 The customers, users and other interested parties of the services shall be identified [and documented]. 20000-1 3ED IS 8.3.2 1.2 The customers, users and other interested parties of the services shall be [identified and] documented.
03-01	Audit objectives	Description	20000-1 3ED IS 9.2.1 1.1 a) 1) The organization shall conduct internal audits [at planned intervals] to provide information on whether the SMS: a) conforms to: 1) the organization's own requirements for its SMS; 20000-1 3ED IS 9.2.1 1.2 a) 2) The organization shall conduct internal audits [at planned intervals] to provide information on whether the SMS: a) conforms to: 2) the requirements of this document; 20000-1 3ED IS 9.2.1 1.3 b) The organization shall conduct internal audits [at planned intervals] to provide information on whether the SMS: b) is effectively implemented and maintained.
03-02	Change improvement opportunity	Description	20000-1 3ED IS 8.5.1.3 11.2 [The results and conclusions drawn from the analysis shall be recorded and reviewed] to identify opportunities for improvement.

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
03-03	Change request classification criteria	Description	20000-1 3ED IS 8.5.1.2 2.1 a) The organization shall use service design and transition in ISO/IEC 20000-1:2018, 8.5.2 for: a) new services with the potential to have a major impact on customers or other services as determined by the change management policy; 20000-1 3ED IS 8.5.1.2 2.2 b) The organization shall use service design and transition in ISO/IEC 20000-1:2018, 8.5.2 for: b) changes to services with the potential to have a major impact on customers or other services as determined by the change management policy; 20000-1 3ED IS 8.5.1.2 2.3 c) The organization shall use service design and transition for: c) categories of change that are to be managed by service design and transition in ISO/IEC 20000-1:2018, 8.5.2 according to the change management policy; 20000-1 3ED IS 8.5.1.2 2.4 d) The organization shall use service design and transition in ISO/IEC 20000-1:2018, 8.5.2 for: d) removal of a service; 20000-1 3ED IS 8.5.1.2 2.5 e) The organization shall use service design and transition in ISO/IEC 20000-1:2018, 8.5.2 for: e) transfer of an existing service from the organization to a customer or other party; 20000-1 3ED IS 8.5.1.2 2.6 f) The organization shall use service design and transition in ISO/IEC 20000-1:2018, 8.5.2 for: f) transfer of an existing service from a customer or other party to the organization. 20000-1 3ED IS 8.5.1.3 3.1 a) Decision making shall also consider potential impacts of the change on: a) existing services; 20000-1 3ED IS 8.5.1.3 3.2 b) Decision making shall also consider potential impacts of the change on: b) customers, users and other interested parties; 20000-1 3ED IS 8.5.1.3 3.3 c) Decision making shall also consider potential impacts of the change on: c) policies and plans required by this document;

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
			20000-1 3ED IS 8.5.1.3 3.4.1 d) Decision making shall also consider potential impacts of the change on: d) capacity, service availability, service continuity and information security; 20000-1 3ED IS 8.5.1.3 3.4.2 d) Decision making shall also consider potential impacts of the change on: d) [capacity, service availability, service continuity and] information security; 20000-1 3ED IS 8.5.1.3 3.5 e) Decision making shall also consider potential impacts of the change on: e) other requests for change, releases and plans for deployment. 20000-1 3ED IS 8.5.1.3 2. Decision-making shall take into consideration the risks, business benefits, feasibility and financial impact.
03-04	Information security controls report	Description	20000-1 3ED IS 8.7.3.2 2.1 Information security controls shall be determined, implemented and operated to support the information security policy [and address identified information security risks.] 20000-1 3ED IS 8.7.3.2 2.2 [Information security controls shall be determined, implemented and operated to support the information security policy and] address identified information security risks. 20000-1 3ED IS 8.7.3.2 2.3 Decisions about security control shall be documented. 20000-1 3ED IS 8.7.3.2 2.4 The organization shall [agree and] implement information security controls to address information security risks related to external organizations.
03-05	Information security improvement opportunity	Description	20000-1 3ED IS 8.7.3.3 3.2 [Information security incidents shall be reported and reviewed] to identify opportunities for improvement.
03-06	Major incident definition	Description	20000-1 3ED IS 8.6.1 3. The organization shall determine criteria to identify a major incident.
03-07	Major incident improvement opportunity	Description	20000-1 3ED IS 8.6.1 7.2 [After the incident has been resolved, the major incident shall be reported and reviewed] to identify opportunities for improvement.

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
03-08	Management review objectives	Description	20000-1 3ED IS 6.1.2 1.1 The organization shall determine [and document]: a) risks related to: 1) the organization; 20000-1 3ED IS 6.1.2 1.2 The organization shall [determine and] document: a) risks related to: 1) the organization; 20000-1 3ED IS 9.3 2.1 a) The management review shall include consideration of: a) the status of actions from previous management reviews; 20000-1 3ED IS 9.3 2.2 b) The management review shall include consideration of: b) changes in external and internal issues that are relevant to the SMS; 20000-1 3ED IS 9.3 2.3 c) 1) The management review shall include consideration of: [c) information on the performance and effectiveness of the SMS, including trends in: 1) nonconformities and corrective actions;] 20000-1 3ED IS 9.3 2.4 c) 1) [The management review shall include consideration of: c) information on the performance and effectiveness of the SMS, including trends in:] 1) nonconformities and corrective actions; 20000-1 3ED IS 9.3 2.5 c) 2) The management review shall include consideration of:[c) information on the performance and effectiveness of the SMS, including trends in: 2) monitoring and measurement results;] 20000-1 3ED IS 9.3 2.6 c) 2) [The management review shall include consideration of: c) information on the performance and effectiveness of the SMS, including trends in:] 2) monitoring and measurement results; 20000-1 3ED IS 9.3 2.7 c) 3) The management review shall include consideration of: [c) information on the performance and effectiveness of the SMS, including trends in: 3) audit results;] 20000-1 3ED IS 9.3 2.8 c) 3) [The management review shall include consideration of: c) information on the performance and effectiveness of the SMS, including trends in:] 3) audit results; 20000-1 3ED IS 9.3 2.9 d) The management review shall include consideration of: d) opportunities for continual improvement.

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
			20000-1 3ED IS 9.3 2.10 e) The management review shall include consideration of: e) feedback from customers and other interested parties; 20000-1 3ED IS 9.3 2.11 f) The management review shall include consideration of: f) adherence to and suitability of the service management policy and other policies required by this document; 20000-1 3ED IS 9.3 2.12 g) The management review shall include consideration of: g) achievement of service management objectives; 20000-1 3ED IS 9.3 2.13 h) The management review shall include consideration of: h) performance of the services; 20000-1 3ED IS 9.3 2.14 i) The management review shall include consideration of: i) performance of other parties involved in the delivery of the services; 20000-1 3ED IS 9.3 2.15 j) The management review shall include consideration of: j) current and forecast human, technical, information and financial resource levels, and human and technical capabilities; 20000-1 3ED IS 9.3 2.16 k) The management review shall include consideration of: k) results of risk assessment and the effectiveness of actions taken to address risks and opportunities (see 6.1); 20000-1 3ED IS 9.3 2.17 l) The management review shall include consideration of: l) changes that can affect the SMS and the services; 20000-1 3ED IS 10.1.1 1.8 d) When a nonconformity occurs, the organization shall: d) review the effectiveness of any corrective action taken;
03-09	Management system strategy: Competency	Description	20000-1 3ED IS 7.2 1.2 The organization shall: b) ensure that these persons are competent on the basis of appropriate education, training or experience;
03-10	Management system strategy: Delivery	Description	20000-1 3ED IS 8.2.1 1. The organization shall operate the SMS ensuring co-ordination of the activities and the resources. 20000-1 3ED IS 8.2.1 2. The organisation shall perform the activities required to deliver services.

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
03-11	Management system strategy: Documentation	Description	20000-1 3ED IS 7.5.1 1.1 The organization's SMS shall include: a) documented information required by this document; 20000-1 3ED IS 7.5.1 1.2 The organization's SMS shall include: b) documented information determined by the organization as being necessary for the effectiveness of the SMS. 20000-1 3ED IS 7.5.4 1.1 a) The documented information for the SMS shall include: a) scope of the SMS; 20000-1 3ED IS 7.5.4 1.2 b) The documented information for the SMS shall include: b) policy and objectives for service management; 20000-1 3ED IS 7.5.4 1.3 c) The documented information for the SMS shall include: c) service management plan; 20000-1 3ED IS 7.5.4 1.4 d) The documented information for the SMS shall include: d) change management policy, information security policy and service continuity plan(s); 20000-1 3ED IS 7.5.4 1.5 e) The documented information for the SMS shall include: e) processes of the organization's SMS; 20000-1 3ED IS 7.5.4 1.6 f) The documented information for the SMS shall include: f) service requirements; 20000-1 3ED IS 7.5.4 1.7 g) The documented information for the SMS shall include: g) service catalogue(s); 20000-1 3ED IS 7.5.4 1.8 h) The documented information for the SMS shall include: h) service level agreement(s) (SLA); 20000-1 3ED IS 7.5.4 1.9 i) The documented information for the SMS shall include: i) contracts with external suppliers; 20000-1 3ED IS 7.5.4 1.10 j) The documented information for the SMS shall include: j) agreements with internal suppliers or customers acting as a supplier;

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
			20000-1 3ED IS 7.5.4 1.11 k) The documented information for the SMS shall include: k) procedures that are required by this document; 20000-1 3ED IS 7.5.4 1.12 l) The documented information for the SMS shall include: l) records required to demonstrate evidence of conformity to the requirements of this document and the organisation's SMS;
03-12	Management system strategy: External and internal issues	Description	20000-1 3ED IS 4.1 1. The organization shall determine external and internal issues that are relevant to its purpose and that affect its ability to achieve the intended outcome(s) of its SMS.
03-13	Management system strategy: Knowledge	Description	20000-1 3ED IS 7.6 1.1 The organization shall determine [and maintain] the knowledge necessary to support the operation of the SMS and the services. 20000-1 3ED IS 7.6 1.2 The organization shall [determine and] maintain the knowledge necessary to support the operation of the SMS and the services. 20000-1 3ED IS 7.6 2.1 The knowledge shall be relevant, usable [and available to appropriate persons.] 20000-1 3ED IS 7.6 2.2 The knowledge shall be [relevant, usable and] available to appropriate persons.
03-14	Management system strategy: Management commitment	Description	20000-1 3ED IS 5.1 1.1 a) Top management shall demonstrate leadership and commitment with respect to the SMS by: a) ensuring that the service management policy and service management objectives are established and are compatible with the strategic direction of the organization;

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
			20000-1 3ED IS 5.1 1.2 b) Top management shall demonstrate leadership and commitment with respect to the SMS by: b) ensuring that the service management plan is created, implemented and maintained in order to support the service management policy, and the achievement of the service management objectives and the service requirements; 20000-1 3ED IS 5.1 1.7 g) Top management shall demonstrate leadership and commitment with respect to the SMS by: g) ensuring that the resources needed for the SMS and the services are available; 20000-1 3ED IS 5.1 1.8 h) Top management shall demonstrate leadership and commitment with respect to the SMS by: h) communicating the importance of effective service management, achieving the service management objectives, delivering value and conforming to the SMS requirements; 20000-1 3ED IS 6.1.1 1.1 a) When planning for the SMS, the organization shall consider 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: a) give assurance that the SMS can achieve its intended outcome(s); 20000-1 3ED IS 6.1.1 1.2 b) When planning for the SMS, the organization shall consider the factors 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: b) prevent, or reduce, undesired effects; 20000-1 3ED IS 6.1.1 1.3 c) When planning for the SMS, the organization shall consider the factors 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: c) achieve continual improvement of the SMS and the services. 20000-1 3ED IS 6.1.2 1.4 The organization shall [determine and] document: a) risks related to: 2) not meeting the service requirements;

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
03-15	Management system strategy: Suppliers	Description	20000-1 3ED IS 8.3.1 1.1 The organization may use suppliers to: a) operate services; 20000-1 3ED IS 8.3.1 1.2 The organization may use suppliers to: b) provide service components; 20000-1 3ED IS 8.3.1 1.3 The organization may use suppliers to: c) operate service components; 20000-1 3ED IS 8.3.1 1.4 The organization may use suppliers to: d) operate processes, or parts of processes, that are in the organization's SMS.
03-16	MS Measurement information gathering events	Description	20000-1 3ED IS 9.1 1.1 a) The organization shall determine: a) what needs to be monitored and measured for the SMS and the services; 20000-1 3ED IS 9.1 1.2 b) The organization shall determine: b) the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results; 20000-1 3ED IS 9.1 1.3 c) The organization shall determine: c) when the monitoring and measuring shall be performed; 20000-1 3ED IS 9.1 1.4 d) The organization shall determine: d) when the results from monitoring and measurement shall be analysed and evaluated. 20000-1 3ED IS 9.1 2. The organization shall retain appropriate documented information as evidence of the results. 20000-1 3ED IS 9.1 3. The organization shall evaluate the SMS performance against the service management objectives and evaluate the effectiveness of the SMS. 20000-1 3ED IS 9.1 4. The organization shall evaluate the effectiveness of the services against the service requirements.
03-17	New or changed service design	Description	20000-1 3ED IS 8.5.2.2 1.1 The new or changed services shall be designed [and documented] to meet the service requirements determined in ISO/IEC 20000-1:2018, 8.2.2. 20000-1 3ED IS 8.5.2.2 1.2 The new or changed services shall [be designed and] documented to meet the service requirements determined in ISO/IEC 20000-1:2018, 8.2.2.
03-18	Process description	Description	The set of activities that transforms the inputs into outputs is determined.
03-19	Release acceptance test criteria	Description	20000-1 3ED IS 8.5.3 5. [The release shall be verified against the] documented acceptance criteria [and approved before deployment.]
03-20	Release measurement information needs	Description	20000-1 3ED IS 8.5.3 11. Measurements shall include incidents related to a release in the period following deployment of a release.

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
03-21	Release performance improvement opportunity	Description	20000-1 3ED IS 8.5.3 12.2 [The results and conclusions drawn from the analysis shall be recorded and reviewed] to identify opportunities for improvement.
03-22	Risk and opportunity identification	Description	20000-1 3ED IS 6.1.2 1.3 The organization shall determine [and document]: a) risks related to: 2) not meeting the service requirements; 20000-1 3ED IS 6.1.2 1.5 The organization shall determine [and document]: a) risks related to: 3) the involvement of other parties in the service lifecycle; 20000-1 3ED IS 6.1.2 1.6 The organization shall [determine and] document: a) risks related to: 3) the involvement of other parties in the service lifecycle; 20000-1 3ED IS 8.7.1 1.1 [At planned intervals,] the risks to service availability shall be assessed [and documented.] 20000-1 3ED IS 8.7.1 1.2 [At planned intervals,] the risks to service availability shall be [assessed and] documented. 20000-1 3ED IS 8.7.2 1.1 [At planned intervals,] the risks to service continuity shall be assessed [and documented.] 20000-1 3ED IS 8.7.2 1.2 [At planned intervals,] the risks to service continuity shall be [assessed and] documented. 20000-1 3ED IS 8.7.3.2 1.1 [At planned intervals,] the information security risks to the SMS and the services shall be assessed [and documented.] 20000-1 3ED IS 8.7.3.2 1.2 [At planned intervals,] the information security risks to the SMS and the services shall be [assessed and] documented.
03-23	Risk assessment criteria	Description	20000-1 3ED IS 6.1.2 1.7 The organization shall determine [and document]: b) the impact on customers of risks and opportunities for the SMS and the services; 20000-1 3ED IS 6.1.2 1.8 The organization shall [determine and] document: b) the impact on customers of risks and opportunities for the SMS and the services; 20000-1 3ED IS 6.1.2 1.9 The organization shall determine [and document]: c) risk acceptance criteria; (general) 20000-1 3ED IS 6.1.2 1.10 The organization shall determine [and document]: c) risk acceptance criteria; (information security) 20000-1 3ED IS 6.1.2 1.11 The organization shall [determine and] document: c) risk acceptance criteria;

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
03-24	Service catalogue	Description	20000-1 3ED IS 8.2.4 1.1 The organization shall create [and maintain] one or more service catalogues. 20000-1 3ED IS 8.2.4 1.2 The organization shall [create and] maintain one or more service catalogues. 20000-1 3ED IS 8.2.4 2. The service catalogue(s) shall include information for the organization, customers, users and other interested parties to describe the services, the intended outcomes and dependencies between the services. 20000-1 3ED IS 8.2.4 3. The organization shall provide access to appropriate parts of the service catalogue to its customers, users and other interested parties.
03-25	Service management objectives	Description	20000-1 3ED IS 6.2.1 1. The organization shall establish service management objectives at relevant functions and levels. 20000-1 3ED IS 6.2.1 2.1 The service management objectives shall: a) be consistent with the service management policy; 20000-1 3ED IS 6.2.1 2.2 The service management objectives shall: b) be measurable; 20000-1 3ED IS 6.2.1 2.3 The service management objectives shall: c) take into account applicable requirements; 20000-1 3ED IS 6.2.1 2.4 The service management objectives shall: d) be monitored; 20000-1 3ED IS 6.2.1 2.5 The service management objectives shall: e) be communicated; 20000-1 3ED IS 6.2.1 2.6 The service management objectives shall: f) be updated as appropriate. 20000-1 3ED IS 6.2.1 3. The organization shall retain documented information on the service management objectives.

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
03-26	Service management planning objectives	Description	20000-1 3ED IS 6.2.2 1.1 a) When planning how to achieve its service management objectives, the organization shall determine: a) what will be done; 20000-1 3ED IS 6.2.2 1.2 b) When planning how to achieve its service management objectives, the organization shall determine: b) what resources will be required; 20000-1 3ED IS 6.2.2 1.3 c) When planning how to achieve its service management objectives, the organization shall determine: c) who will be responsible; 20000-1 3ED IS 6.2.2 1.4 d) When planning how to achieve its service management objectives, the organization shall determine: d) when it will be completed; 20000-1 3ED IS 6.2.2 1.5 e) When planning how to achieve its service management objectives, the organization shall determine: e) how the results will be evaluated.
03-27	Service management resource allocation	Description	20000-1 3ED IS 7.1 1.2 The organization shall [determine and] provide 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.
03-28	Service management resource needs	Description	20000-1 3ED IS 7.1 1.1 The organization shall determine [and provide] 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.

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
03-29	Service management roles and responsibilities	Description	20000-1 3ED IS 5.3 1. Top management shall ensure that the responsibilities and authorities for roles relevant to the SMS and the services are assigned and communicated within the organization. 20000-1 3ED IS 5.3 2.1 a) Top management shall assign the responsibility and authority for: a) ensuring that the SMS conforms to the requirements of this document; 20000-1 3ED IS 5.3 2.2 b) Top management shall assign the responsibility and authority for: b) reporting on the performance of the SMS and the services to top management. 20000-1 3ED IS 8.3.4.1 1. The organization shall have one of more designated individuals responsible for managing the relationship, contracts and performance of external suppliers.
03-30	Service management system scope	Description	20000-1 3ED IS 4.3 1. The organization shall determine the boundaries and applicability of the SMS to establish its scope. 20000-1 3ED IS 4.3 2.1 When determining this scope, the organization shall consider: a) the external and internal issues referred to in ISO/IEC 20000-1:2018, 4.1; 20000-1 3ED IS 4.3 2.2 When determining this scope, the organization shall consider: b) the requirements referred to in ISO/IEC 20000-1:2018, 4.2; 20000-1 3ED IS 4.3 2.3 When determining this scope, the organization shall consider: c) the services delivered by the organization. 20000-1 3ED IS 4.3 3. The definition of the scope of the SMS shall include the services in scope and the name of the organization managing and delivering the services. 20000-1 3ED IS 4.3 4.1 The scope of the SMS shall be available [and be maintained] as documented information. 20000-1 3ED IS 4.3 4.2 The scope of the SMS shall be [available and be] maintained as documented information.
03-31	Service provision improvement opportunity	Description	20000-1 3ED IS 8.3.2 8.2 [The results shall be analysed, reviewed] to identify opportunities for improvement and reported.
03-32	Service report content definition	Description	20000-1 3ED IS 9.4 2. Reports on the performance and effectiveness of the SMS and the services shall be produced using information from the SMS activities and delivery of the services. 20000-1 3ED IS 9.4 3. Service reporting shall include trends.

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
03-33	Service reporting needs definition	Description	20000-1 3ED IS 9.4 1. The organization shall determine reporting requirements and their purpose.
03-34	Services improvement opportunity	Description	20000-1 3ED IS 8.3.3 5. Where service level targets are not met, the organization shall identify opportunities for improvement.
03-35	Supplier performance improvement opportunity	Description	20000-1 3ED IS 8.3.4.1 7.2 Where service level targets or other contractual obligations are not met, the organization shall ensure that opportunities for improvement are identified. 20000-1 3ED IS 8.3.4.2 3.2 Where service level targets or other agreed commitments are not met, the organization shall ensure that opportunities for improvement are identified.
04-01	Audit plan	Plan	20000-1 3ED IS 9.2.2 1.4 b) The organization shall: b) define the audit criteria and scope for each audit;
04-02	Audit programme	Plan	20000-1 3ED IS 9.2.2 1.1 a) 1) The organization shall: a) plan, establish, implement and maintain an audit programme(s), including the frequency, methods, responsibilities, planning requirements and reporting, which shall take into consideration: 1) the importance of the processes concerned; 20000-1 3ED IS 9.2.2 1.2 a) 2) The organization shall: a) plan, establish, implement and maintain an audit programme(s), including the frequency, methods, responsibilities, planning requirements and reporting, which shall take into consideration: 2) changes affecting the organization; 20000-1 3ED IS 9.2.2 1.3 a) 3) The organization shall: a) plan, establish, implement and maintain an audit programme(s), including the frequency, methods, responsibilities, planning requirements and reporting, which shall take into consideration: 3) the results of previous audits;
04-03	Audit schedule	Plan	20000-1 3ED IS 8.2.6 8.2 At planned intervals [the organization shall verify the accuracy of the configuration information]. 20000-1 3ED IS 9.2.1 1.4 [The organization shall conduct internal audits] at planned intervals [to provide information].

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
04-04	Capacity plan	Plan	20000-1 3ED IS 8.4.3 2.1 a) The organization shall plan capacity to include: a) current and forecast capacity based on demand for services; 20000-1 3ED IS 8.4.3 2.2 b) The organization shall plan capacity to include: b) expected impact on capacity of agreed service level targets, requirements for service availability and service continuity; 20000-1 3ED IS 8.4.3 2.3 c) The organization shall plan capacity to include: c) timescales and thresholds for changes to service capacity.
04-05	Change request analysis schedule	Plan	20000-1 3ED IS 8.5.1.3 10.2 At planned intervals, [request for change records shall be analysed to detect trends.]
04-06	Change schedule	Plan	20000-1 3ED IS 8.5.1.3 5.1 Proposed deployment dates and other deployment details for approved changes [shall be communicated to interested parties.] 20000-1 3ED IS 8.5.1.3 5.2 [Proposed deployment dates and other deployment details for approved changes] shall be communicated to interested parties.
04-07	Improvement plan	Plan	20000-1 3ED IS 10.2 5.1 The organization shall manage approved improvement activities .. 20000-1 3ED IS 10.2 5.2 a) The organization shall manage [approved] improvement activities that include: a) setting one or more targets for improvement in areas such as quality, value, capability, cost, productivity, resource utilization and risk reduction; 20000-1 3ED IS 10.2 5.3 b) The organization shall manage [approved] improvement activities that include: b) ensuring that improvements are prioritized, [planned and implemented;]

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
			20000-1 3ED IS 10.2 5.4 b) The organization shall manage [approved] improvement activities that include: b) ensuring that improvements are [prioritized,] planned and implemented; 20000-1 3ED IS 10.2 5.5 c) The organization shall manage [approved] improvement activities that include: c) revising the SMS, if necessary; 20000-1 3ED IS 10.2 5.6 d) The organization shall manage [approved] improvement activities that include: d) measuring implemented improvements against the target(s) set and where target(s) are not achieved, taking necessary actions; 20000-1 3ED IS 10.2 5.7 e) The organization shall manage [approved] improvement activities that include: e) reporting on implemented improvements.
04-08	Management review schedule	Plan	20000-1 3ED IS 9.3 1.2 [Top management shall review the organization's SMS and the services,] at planned intervals, [to ensure their continuing suitability, adequacy and effectiveness.]
04-09	New and changes services schedule	Plan	20000-1 3ED IS 8.5.2.1 2. For services that are to be removed, the planning shall additionally include the date(s) for the removal of the activities for archiving, disposal or transfer of data, documented information and service components. 20000-1 3ED IS 8.5.2.1 3. For services that are to be transferred, the planning shall additionally include the date(s) for the transfer of the services and the activities for the transfer of data, documented information, knowledge and service components.
04-10	New or changed service plan	Plan	20000-1 3ED IS 8.1 1.3 c) The organization shall plan, implement and control the processes needed to fulfil requirements, and to implement the actions determined in 6 by: c) keeping documented information to the extent necessary to have confidence that the processes have been carried out as planned.

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
			20000-1 3ED IS 8.5.2.1 1.1 a) Planning shall use the service requirements for the new or changed services determined in ISO/IEC 20000-1:2018, 8.2.2 and shall include or contain a reference to: a) authorities and responsibilities for design, build and transition activities; 20000-1 3ED IS 8.5.2.1 1.2 b) Planning shall use the service requirements for the new or changed services determined in ISO/IEC 20000-1:2018, 8.2.2 and shall include or contain a reference to: b) activities to be performed by the organization or other parties with their timescales; 20000-1 3ED IS 8.5.2.1 1.3 c) Planning shall use the service requirements for the new or changed services determined in ISO/IEC 20000-1:2018, 8.2.2 and shall include or contain a reference to: c) human, technical, information and financial resources; 20000-1 3ED IS 8.5.2.1 1.4 d) Planning shall use the service requirements for the new or changed services determined in ISO/IEC 20000-1:2018, 8.2.2 and shall include or contain a reference to: d) dependencies on other services; 20000-1 3ED IS 8.5.2.1 1.5 e) Planning shall use the service requirements for the new or changed services determined in ISO/IEC 20000-1:2018, 8.2.2 and shall include or contain a reference to: e) testing needed for the new or changed services; 20000-1 3ED IS 8.5.2.1 1.6 f) Planning shall use the service requirements for the new or changed services determined in ISO/IEC 20000-1:2018, 8.2.2 and shall include or contain a reference to: f) service acceptance criteria; 20000-1 3ED IS 8.5.2.1 1.7 g) Planning shall use the service requirements for the new or changed services determined in ISO/IEC 20000-1:2018, 8.2.2 and shall include or contain a reference to: g) intended outcomes from delivering the new or changed services, expressed in measurable terms; 20000-1 3ED IS 8.5.2.1 1.8 h) Planning shall use the service requirements for the new or changed services determined in ISO/IEC 20000-1:2018, 8.2.2 and shall include or contain a reference to: h) impact on the SMS, other services, planned changes, customers, users and other interested parties.

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
04-11	Release plan	Plan	20000-1 3ED IS 8.5.3 2. The organization shall plan the deployment of new or changed services and service components into the live environment. 20000-1 3ED IS 8.5.3 3. Planning shall be 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.
04-12	Release schedule	Plan	20000-1 3ED IS 8.5.3 4. Planning shall include the dates for deployment of each release, deliverables and methods of deployment.
04-13	Reversing unsuccessful changes plan	Plan	20000-1 3ED IS 8.5.1.3 6.1 The activities to reverse or remedy an unsuccessful change shall be [planned and], where possible, tested. 20000-1 3ED IS 8.5.1.3 6.2 [The activities to reverse or remedy an unsuccessful change shall] be planned and, [where possible, tested.]
04-14	Risk treatment plan	Plan	20000-1 3ED IS 6.1.3 1.1 The organization shall [plan: a) actions to] address these risks and opportunities and their priorities; 20000-1 3ED IS 6.1.3 1.2 The organization shall plan: a) actions to address these risks and opportunities and their priorities; 20000-1 3ED IS 6.1.3 1.3 The organization shall [plan: b) how to: 1)] integrate and implement the actions into its SMS processes; 20000-1 3ED IS 6.1.3 1.4 The organization shall plan: b) how to: 1) integrate and implement the actions into its SMS processes; 20000-1 3ED IS 6.1.3 1.5 The organization shall plan: [b) how to: 2) evaluate the effectiveness of these actions.]

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
04-15	Service continuity plan	Plan	20000-1 3ED IS 8.7.2 4. The organization shall create, implement and maintain one or more service continuity plans. 20000-1 3ED IS 8.7.2 5.2 b) The service continuity plan(s) shall include or contain a reference to: b) procedures to be implemented in the event of a major loss of service; 20000-1 3ED IS 8.7.2 5.3 c) The service continuity plan(s) shall include or contain a reference to: c) targets for service availability when the service continuity plan is invoked; 20000-1 3ED IS 8.7.2 5.4 d) The service continuity plan(s) shall include or contain a reference to: d) service recovery requirements; 20000-1 3ED IS 8.7.2 5.5 e) The service continuity plan(s) shall include or contain a reference to: e) procedures for returning to normal working conditions. 20000-1 3ED IS 8.7.2 5.1 a) The service continuity plan(s) shall include or contain a reference to: a) criteria and responsibilities for invoking service continuity; 20000-1 3ED IS 8.7.2 6.2 At planned intervals, [the service continuity plan(s) shall be tested against the service continuity requirements.]
04-16	Service management plan	Plan	20000-1 3ED IS 4.2 1.2 The organization shall determine: b) the relevant requirements of these interested parties. 20000-1 3ED IS 4.4 1. The organization shall establish, implement, maintain and continually improve an SMS, including the processes needed and their interactions, in accordance with the requirements of this document. 20000-1 3ED IS 5.1 1.3 c) Top management shall demonstrate leadership and commitment with respect to the SMS by: c) ensuring that appropriate levels of authority are assigned for making decisions related to the SMS and the services;

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
			20000-1 3ED IS 5.1 1.4 d) Top management shall demonstrate leadership and commitment with respect to the SMS by: d) ensuring that what constitutes value for the organization and its customers is determined; 20000-1 3ED IS 5.1 1.5 e) Top management shall demonstrate leadership and commitment with respect to the SMS by: e) ensuring there is control of other parties involved in the service lifecycle; 20000-1 3ED IS 5.1 1.6 f) Top management shall demonstrate leadership and commitment with respect to the SMS by: f) ensuring the integration of the SMS requirements into the organization's business processes; 20000-1 3ED IS 5.1 1.9 i) Top management shall demonstrate leadership and commitment with respect to the SMS by: i) ensuring that the SMS achieves its intended outcome(s); 20000-1 3ED IS 5.1 1.10 j) Top management shall demonstrate leadership and commitment with respect to the SMS by: j) directing and supporting persons to contribute to the effectiveness of the SMS and the services; 20000-1 3ED IS 5.1 1.11 k) Top management shall demonstrate leadership and commitment with respect to the SMS by: k) promoting continual improvement of the SMS and the services; 20000-1 3ED IS 5.1 1.12 l) Top management shall demonstrate leadership and commitment with respect to the SMS by: l) supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility. 20000-1 3ED IS 6.1.2 1.12 The organization shall determine [and document]: d) approach to be taken for the management of risks. 20000-1 3ED IS 6.1.2 1.13 The organization shall [determine and] document: d) approach to be taken for the management of risks.

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
			20000-1 3ED IS 6.3 1. The organization shall create, implement and maintain a service management plan. 20000-1 3ED IS 6.3 2. Planning shall take into consideration the service management policy, service management objectives, risks and opportunities, service requirements and requirements specified in this document. 20000-1 3ED IS 6.3 3.1 a) The service management plan shall include or contain a reference to: a) list of services; 20000-1 3ED IS 6.3 3.2 b) The service management plan shall include or contain a reference to: b) known limitations that can impact the SMS and the services; 20000-1 3ED IS 6.3 3.3 c) The service management plan shall include or contain a reference to: c) obligations such as relevant policies, standards, legal, regulatory and contractual requirements , and how these obligations apply to the SMS and the services; 20000-1 3ED IS 6.3 3.4 d) The service management plan shall include or contain a reference to: d) authorities and responsibilities for the SMS and the services; 20000-1 3ED IS 6.3 3.5 e) The service management plan shall include or contain a reference to: e) human, technical, information and financial resources necessary to operate the SMS and the services; 20000-1 3ED IS 6.3 3.6 f) The service management plan shall include or contain a reference to: f) approach to be taken for working with other parties involved in the service lifecycle; 20000-1 3ED IS 6.3 3.7 g) The service management plan shall include or contain a reference to: g) technology used to support the SMS; 20000-1 3ED IS 6.3 3.8 h) The service management plan shall include or contain a reference to: h) how the effectiveness of the SMS and the services will be measured, audited, reported and improved. 20000-1 3ED IS 6.3 4. Other planning activities shall maintain alignment with the service management plan.

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
04-17	Service management risk assessment schedule	Plan	20000-1 3ED IS 8.7.1 1.3 At planned intervals, [the risks to service availability shall be assessed and documented.] 20000-1 3ED IS 8.7.2 1.3 At planned intervals, [the risks to service continuity shall be assessed and documented.] 20000-1 3ED IS 8.7.3.2 1.3 At planned intervals, [the information security risks to the SMS and the services shall be assessed and documented.]
04-18	Service provision review schedule	Plan	20000-1 3ED IS 8.3.2 6.2 At planned intervals [the organization shall review the performance trends and the outcomes of the services]. 20000-1 3ED IS 8.3.2 7.3 At planned intervals, [the organization shall measure satisfaction with the services based on a representative sample of customers.] 20000-1 3ED IS 8.4.1 3.2 At planned intervals, [the organization shall monitor and report on actual costs against the budget, review the financial forecasts and manage costs.] 20000-1 3ED IS 8.4.2 1.3 a) At planned intervals, the organization shall: a) determine current demand [and forecast future demand for services;] 20000-1 3ED IS 8.4.2 1.4 a) At planned intervals, the organization shall: a) [determine current demand and] forecast future demand for services; 20000-1 3ED IS 8.4.2 1.7 b) At planned intervals, the organization shall: b) monitor [and report on] demand and consumption of services. 20000-1 3ED IS 8.4.2 1.8 b) At planned intervals, the organization shall: b) [monitor and] report on demand and consumption of services.
04-19	Services provision budget	Plan	20000-1 3ED IS 8.4.1 2. Costs shall be budgeted to enable effective financial control and decision-making for services.
04-20	Services review schedule	Plan	20000-1 3ED IS 8.3.3 4.2 At planned intervals, [the organization shall monitor, review and report on: a) performance against service level targets; b) actual and periodic changes in workload compared to workload limits in the SLA(s).]

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
04-21	Supplier performance review schedule	Plan	20000-1 3ED IS 8.3.4.1 6.2 At planned intervals [the organization shall monitor the performance of the external supplier]. 20000-1 3ED IS 8.3.4.1 8.2 At planned intervals [the organization shall review the contract against current service requirements]. 20000-1 3ED IS 8.3.4.2 2.2 At planned intervals, [the organization shall monitor the performance of the internal supplier or the customer acting as a supplier.]
05-1	Budgeting & accounting interface to Financial Management description	Policy	20000-1 3ED IS 8.4.1 1. The organization shall budget and account for services or groups of services in accordance with its financial management policies and processes.
05-2	Change Management policy	Policy	20000-1 3ED IS 8.5.1.1 1.1 a) A change management policy shall be established [and documented] to define: a) service components and other items that are under the control of change management; 20000-1 3ED IS 8.5.1.1 1.2 a) A change management policy shall be [established and] documented to define: a) service components and other items that are under the control of change management; 20000-1 3ED IS 8.5.1.1 1.3 b) A change management policy shall be established [and documented] that defines: b) categories of change, including emergency change, and how they are to be managed; 20000-1 3ED IS 8.5.1.1 1.4 b) A change management policy shall be [established and] documented that defines: b) categories of change, including emergency change, and how they are to be managed; 20000-1 3ED IS 8.5.1.1 1.5 c) A change management policy shall be established [and documented] that defines: c) criteria to determine changes with the potential to have a major impact on customers or services. 20000-1 3ED IS 8.5.1.1 1.6 c) A change management policy shall be [established and] documented that defines: c) criteria to determine changes with the potential to have a major impact on customers or services. 20000-1 3ED IS 8.5.1.2 3. Assessing, approving, scheduling and reviewing of new or changed services in the scope of ISO/IEC 20000-1:2018, 8.5.2 shall be managed through the change management activities in ISO/IEC 20000-1:2018, 8.5.1.3. 20000-1 3ED IS 8.5.1.2 4. Requests for change not being managed through ISO/IEC 20000-1:2018, 8.5.2 shall be managed through the change management activities in ISO/IEC 20000-1:2018, 8.5.1.3.

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
05-3	CM interface to financial management policy	Policy	20000-1 3ED IS 8.2.5 1. The organization shall ensure that assets used to deliver services are managed according to legal and regulatory requirements and contractual obligations.
05-4	Configuration item definition policy	Policy	20000-1 3ED IS 8.2.6 1. The types of CI shall be defined. Services shall be classified as CIs. 20000-1 3ED IS 8.2.6 2. Configuration information shall be recorded to a level of detail appropriate to the criticality and type of services. 20000-1 3ED IS 8.2.6 4.2 b) The configuration information recorded for each CI shall include: b) type of CI; 20000-1 3ED IS 8.2.6 4.3 c) The configuration information recorded for each CI shall include: c) description of the CI; 20000-1 3ED IS 8.2.6 4.4 d) The configuration information recorded for each CI shall include: d) relationship with other CIs; 20000-1 3ED IS 8.2.6 4.5 e) The configuration information recorded for each CI shall include: e) status.
05-5	Configuration management policy	Policy	20000-1 3ED IS 8.5.2.1 4. The CIs affected by new or changed services shall be managed through configuration management.
05-6	Improvement policy	Policy	20000-1 3ED IS 10.2 1. The organization shall continually improve the suitability, adequacy and effectiveness of the SMS and the services. 20000-1 3ED IS 10.2 2.1 The organization shall determine evaluation criteria to be applied to the opportunities for improvement [when making decisions on their approval.] 20000-1 3ED IS 10.2 2.2 [The organization shall determine evaluation criteria to be applied to the opportunities for improvement] when making decisions on their approval. 20000-1 3ED IS 10.2 3. Evaluation criteria shall include alignment of the improvement with service management objectives. 20000-1 3ED IS 10.2 4. Opportunities for improvement shall be documented.

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
05-7	Information security policy	Policy	20000-1 3ED IS 8.7.3.1 1.1 Management with appropriate authority [shall approve] an information security policy relevant to the organization. 20000-1 3ED IS 8.7.3.1 2.1 The information security policy shall [be documented] and take into consideration the service requirements and the obligations in 6.2. 20000-1 3ED IS 8.7.3.1 2.2 [The information security policy shall be] documented [and take into consideration the service requirements and the obligations in 6.2.] 20000-1 3ED IS 8.7.3.1 3. The information security policy shall be made available as appropriate.
05-8	Release policy	Policy	20000-1 3ED IS 8.5.3 1. The organization shall define the types of releases, including emergency releases, their frequency and how they are to be managed.
05-9	Service management policy	Policy	20000-1 3ED IS 5.2.1 1.1 a) Top management shall establish a service management policy that: a) is appropriate to the purpose of the organization; 20000-1 3ED IS 5.2.1 1.2 b) Top management shall establish a service management policy that: b) provides a framework for setting service management objectives; 20000-1 3ED IS 5.2.1 1.3 c) Top management shall establish a service management policy that: c) includes a commitment to satisfy applicable requirements; 20000-1 3ED IS 5.2.1 1.4 d) Top management shall establish a service management policy that: d) includes a commitment to continual improvement of the SMS and the services. 20000-1 3ED IS 5.2.2 1.1 a) The service management policy shall: a) be available as documented information; 20000-1 3ED IS 5.2.2 1.2 b) The service management policy shall: b) be communicated within the organization; 20000-1 3ED IS 5.2.2 1.3 c) The service management policy shall: c) be available to interested parties, as appropriate.

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
06-1	Document management procedure	Procedure	20000-1 3ED IS 7.5.2 1.1 a) When creating and updating documented information, the organization shall ensure appropriate: a) identification and description (e.g. a title, date, author, or reference number); 20000-1 3ED IS 7.5.2 1.2 b) When creating and updating documented information, the organization shall ensure appropriate: b) format (e.g. language, software version, graphics) and media (e.g. paper, electronic); 20000-1 3ED IS 7.5.2 1.3 c) When creating and updating documented information, the organization shall ensure appropriate: c) review and approval for suitability and adequacy. 20000-1 3ED IS 7.5.3.1 1.1 a) Documented information required by the SMS and by this document shall be controlled to ensure: a) it is available and suitable for use, where and when it is needed; 20000-1 3ED IS 7.5.3.2 1.1 a) For the control of documented information, the organization shall address the following activities, as applicable: a) distribution, access, retrieval and use; 20000-1 3ED IS 7.5.3.2 1.2 b) For the control of documented information, the organization shall address the following activities, as applicable: b) storage and preservation, including preservation of legibility; 20000-1 3ED IS 7.5.3.2 1.3 c) For the control of documented information, the organization shall address the following activities, as applicable: c) control of changes (e.g. version control); 20000-1 3ED IS 7.5.3.2 1.4 d) For the control of documented information, the organization shall address the following activities, as applicable: d) retention and disposition. 20000-1 3ED IS 7.5.3.2 2.1 Documented information of external origin determined by the organization to be necessary for the planning and operation of the SMS shall be identified as appropriate, [and controlled]. 20000-1 3ED IS 7.5.3.2 2.2 Documented information of external origin determined by the organization to be necessary for the planning and operation of the SMS shall be [identified as appropriate, and] controlled.

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
06-2	Incident management procedure	Procedure	20000-1 3ED IS 8.6.1 1.1 Incidents shall be: a) recorded and classified; 20000-1 3ED IS 8.6.1 1.2 Incidents shall be: b) prioritized taking into consideration impact and urgency; 20000-1 3ED IS 8.6.1 1.3 Incidents shall be: c) escalated if needed; 20000-1 3ED IS 8.6.1 1.4 Incidents shall be: d) resolved; 20000-1 3ED IS 8.6.1 1.5 Incidents shall be: e) closed. 20000-1 3ED IS 8.6.1 2. Records of incidents shall be updated with actions taken.
06-3	Information security Incident management procedure	Procedure	20000-1 3ED IS 8.7.3.3 1.1 a) Information security incidents shall be: a) recorded and classified; 20000-1 3ED IS 8.7.3.3 1.2 b) Information security incidents shall be: b) prioritized taking into consideration the information security risk; 20000-1 3ED IS 8.7.3.3 1.3 c) Information security incidents shall be: c) escalated if needed; 20000-1 3ED IS 8.7.3.3 1.4 d) Information security incidents shall be: d) resolved; 20000-1 3ED IS 8.7.3.3 1.5 e) Information security incidents shall be: e) closed.
06-4	Problem management procedure	Procedure	20000-1 3ED IS 8.6.3 1. The organization shall analyse data and trends on incidents to identify problems. 20000-1 3ED IS 8.6.3 3.1 Problems shall be: a) recorded and classified; 20000-1 3ED IS 8.6.3 3.2 Problems shall be: b) prioritized; 20000-1 3ED IS 8.6.3 3.3 Problems shall be: c) escalated if needed; 20000-1 3ED IS 8.6.3 3.4 Problems shall be: d) resolved if possible; 20000-1 3ED IS 8.6.3 3.5 Problems shall be: e) closed. 20000-1 3ED IS 8.6.3 4. Records of problems shall be updated with actions taken.
06-5	Records management procedure	Procedure	20000-1 3ED IS 7.5.3.1 1.2 b) Documented information required by the SMS and by this document shall be controlled to ensure: b) it is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity).

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
06-6	Service request procedure	Procedure	20000-1 3ED IS 8.6.2 1.1 Service requests shall be: a) recorded and classified; 20000-1 3ED IS 8.6.2 1.2 Service requests shall be: b) prioritized; 20000-1 3ED IS 8.6.2 1.3 Service requests shall be: c) fulfilled; 20000-1 3ED IS 8.6.2 1.4 Service requests shall be: d) closed. 20000-1 3ED IS 8.6.2 3. Instructions for the fulfilment of service requests shall be made a available to persons involved in service request fulfilment.
06-7	Supplier agreement dispute procedure	Procedure	20000-1 3ED IS 8.3.4.1 10.1 Disputes between the organization and the external supplier shall [be recorded and] managed to closure. 20000-1 3ED IS 8.3.4.1 10.2 Disputes between the organization and the external supplier shall be recorded [and managed to closure].
08-01	Audit nonconformance communication record	Record	20000-1 3ED IS 9.2.2 1.6 d) The organization shall: d) ensure that the results of the audits are reported to relevant management;
08-02	Audit result	Record	20000-1 3ED IS 9.2.2 1.7 d) The organization shall: e) retain documented information as evidence of the implementation of the audit programme and the audit results.
08-03	Change request approval record	Record	20000-1 3ED IS 8.5.1.3 1. The organization and interested parties shall make decisions on the approval and priority of requests for change.
08-04	Change request record	Record	20000-1 3ED IS 8.5.1.2 1. Requests for change, including proposals to add, remove or transfer services, shall be recorded and classified.
08-05	Configuration baseline	Record	20000-1 3ED IS 8.5.3 8. Before deployment of a release into the live environment, a baseline of the affected CIs shall be taken, if possible.
08-06	Configuration item record	Record	20000-1 3ED IS 8.2.6 4.1 a) The configuration information recorded for each CI shall include: a) unique identification;

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
08-07	Corrective action cause analysis record	Record	20000-1 3ED IS 10.1.1 1.4 b) 1)When a nonconformity occurs, the organization shall: b) evaluate the need for action to eliminate the causes of the nonconformity in order that it does not recur or occur elsewhere by: 1) reviewing the nonconformity; 20000-1 3ED IS 10.1.1 1.5 b) 2) When a nonconformity occurs, the organization shall: b) evaluate the need for action to eliminate the causes of the nonconformity in order that it does not recur or occur elsewhere by: 2) determining the causes of the nonconformity; 20000-1 3ED IS 10.1.1 1.6 b) 3) When a nonconformity occurs, the organization shall: b) evaluate the need for action to eliminate the causes of the nonconformity in order that it does not recur or occur elsewhere by: 3) determining if similar nonconformities exist, or could potentially occur;
08-08	Corrective action change proposal approval record	Record	20000-1 3ED IS 10.1.1 1.7 c) When a nonconformity occurs, the organization shall: c) implement any action needed; 20000-1 3ED IS 10.1.1 1.9 e) When a nonconformity occurs, the organization shall: e) make changes to the SMS, if necessary.
08-09	Corrective action record	Record	20000-1 3ED IS 10.1.1 2. Corrective actions shall be appropriate to the effects of the nonconformities encountered.
08-10	Customer satisfaction review record	Record	20000-1 3ED IS 8.3.2 7.1 [At planned intervals,] the organization shall measure satisfaction with the services [based on a representative sample of customers.] 20000-1 3ED IS 8.3.2 7.2 [At planned intervals, the organization shall measure satisfaction with the services] based on a representative sample of customers.
08-11	Incident stakeholder communication record	Record	20000-1 3ED IS 8.6.1 5. Top management shall be informed of major incidents.
08-12	Information security controls approval record	Record	20000-1 3ED IS 8.7.3.2 3.2 The organization shall agree [and implement] information security controls to address information security risks related to external organizations.
08-13	Information security policy approval record	Record	20000-1 3ED IS 8.7.3.1 1.2 [Management with appropriate authority] shall approve an information security policy relevant to the organization.

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
08-14	Information security policy communication record	Record	20000-1 3ED IS 8.7.3.1 4.1 a) The organization shall communicate the importance of conforming to the information security policy and its applicability to the SMS and the services to appropriate persons within: a) the organization; 20000-1 3ED IS 8.7.3.1 4.2 b) The organization shall communicate the importance of conforming to the information security policy and its applicability to the SMS and the services to appropriate persons within: b) customers and users; 20000-1 3ED IS 8.7.3.1 4.3 c) The organization shall communicate the importance of conforming to the information security policy and its applicability to the SMS and the services to appropriate persons within: c) external suppliers, internal suppliers and other interested parties;
08-15	Major incident review record	Record	20000-1 3ED IS 8.6.1 7.1 After the incident has been resolved, the major incident shall be reported and reviewed [to identify opportunities for improvement.]
08-16	New or changed services acceptance record	Record	20000-1 3ED IS 8.5.2.3 2. If the service acceptance criteria are not met, the organization and interested parties shall make a decision on necessary actions and deployment.
08-17	Non-conformity disposition record	Record	20000-1 3ED IS 10.1.1 1.1 a) 1) When a nonconformity occurs, [the organization shall: a) react to the nonconformity, and as applicable: 1) take action to control and correct it;] 20000-1 3ED IS 10.1.1 1.2 a) 1) When a nonconformity occurs, the organization shall: a) react to the nonconformity, and as applicable: 1) take action to control and correct it; 20000-1 3ED IS 10.1.1 1.3 a) 2) When a nonconformity occurs, the organization shall: a) react to the nonconformity, and as applicable: 2) deal with the consequences;
08-18	Non-conformity record	Record	20000-1 3ED IS 10.1.2 1.1 a) The organization shall retain documented information as evidence of: a) the nature of the nonconformities and any subsequent actions taken; 20000-1 3ED IS 10.1.2 1.2 b) The organization shall retain documented information as evidence of: b) the results of any corrective action.

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
08-19	Problem resolution effectiveness review record	Record	20000-1 3ED IS 8.6.3 9.1 [At planned intervals] the effectiveness of problem resolution shall be monitored, reviewed [and reported.] 20000-1 3ED IS 8.6.3 9.2 At planned intervals [the effectiveness of problem resolution shall be monitored, reviewed and reported.] 20000-1 3ED IS 8.6.3 9.3 [At planned intervals] [The effectiveness of problem resolution shall be monitored, reviewed] and reported. 20000-1 3ED IS 8.6.3 9.4 [At planned intervals] The effectiveness of problem resolution shall be monitored, reviewed [and reported].
08-20	Release review record	Record	20000-1 3ED IS 8.5.3 10.1 The success or failure of releases shall be monitored [and analysed.]
08-21	Service continuity plan test result review record	Record	20000-1 3ED IS 8.7.2 9. Reviews shall be conducted after each test and after the service continuity plan(s) has been invoked.
08-22	Service level agreement review record	Record	20000-1 3ED IS 8.3.3 4.1 [At planned intervals], the organization shall monitor, review [and report on]: a) performance against service level targets; b) actual and periodic changes in workload compared to workload limits in the SLA(s). 20000-1 3ED IS 8.3.3 4.2 [At planned intervals], the organization shall [monitor, review and] report on: a) performance against service level targets; b) actual and periodic changes in workload compared to workload limits in the SLA(s).

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
08-23	Service management training record	Record	20000-1 3ED IS 7.3 1.1 a) Persons doing work under the organization's control shall be aware of: a) the service management policy; 20000-1 3ED IS 7.3 1.2 b) Persons doing work under the organization's control shall be aware of: a) the service management objectives; 20000-1 3ED IS 7.3 1.3 c) Persons doing work under the organization's control shall be aware of: c) the services relevant to their work; 20000-1 3ED IS 7.3 1.4 d) Persons doing work under the organization's control shall be aware of: d) their contribution to the effectiveness of the SMS, including the benefits of improved performance; 20000-1 3ED IS 7.3 1.5 e) Persons doing work under the organization's control shall be aware of: e) the implications of not conforming with the SMS requirements. 20000-1 3ED IS 7.2 1.3 The organization shall: c) where applicable, take actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken; 20000-1 3ED IS 7.2 1.4 The organization shall: d) retain appropriate documented information as evidence of competence.
08-24	Service provision review record	Record	20000-1 3ED IS 8.3.2 6.1 [At planned intervals] the organization shall review the performance trends and the outcomes of the services.
08-25	Service report communication record	Record	20000-1 3ED IS 9.4 5. The agreed actions shall be communicated to interested parties.
08-26	Services approval record	Record	20000-1 3ED IS 8.3.3 1. The organization and the customer shall agree the services to be delivered.
08-27	Services stakeholder communication record	Record	20000-1 3ED IS 8.5.2.3 4. Following the completion of the transition activities, the organization shall report to interested parties on the achievements against the intended outcomes.
08-28	Supplier performance review record	Record	20000-1 3ED IS 8.3.4.1 6.1 [At planned intervals] the organization shall monitor the performance of the external supplier. 20000-1 3ED IS 8.3.4.1 8.1 [At planned intervals] the organization shall review the contract against current service requirements. 20000-1 3ED IS 8.3.4.2 2.1 [At planned intervals,] the organization shall monitor the performance of the internal supplier or the customer acting as a supplier.

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
09-01	Capacity future needs assessment report	Report	20000-1 3ED IS 8.4.3 3. The organization shall provide sufficient capacity to meet agreed capacity and performance requirements.
09-02	Capacity usage analysis report	Report	20000-1 3ED IS 8.4.3 4.1 The organization shall monitor capacity usage, analyse capacity and performance data [and identify opportunities to improve performance.] 20000-1 3ED IS 8.4.3 4.2 The organization shall [monitor capacity usage, analyse capacity and performance data and] identify opportunities to improve performance.
09-03	Change analysis report	Report	20000-1 3ED IS 8.5.1.3 7. Unsuccessful changes shall be investigated and agreed actions taken. 20000-1 3ED IS 8.5.1.3 10.1 [At planned intervals,] request for change records shall be analysed to detect trends. 20000-1 3ED IS 8.5.1.3 11.1 The results and conclusions drawn from the analysis shall be recorded and reviewed [to identify opportunities for improvement.]
09-04	Change effectiveness evaluation report	Report	20000-1 3ED IS 8.5.1.3 9. The organization shall review changes for effectiveness and take actions agreed with interested parties.
09-05	Configuration item audit report	Report	20000-1 3ED IS 8.2.6 3. Access to configuration information shall be controlled. 20000-1 3ED IS 8.2.6 8.1 [At planned intervals] the organization shall verify the accuracy of the configuration information, 20000-1 3ED IS 8.2.6 9. Where deficiencies are found, the organization shall take necessary actions.
09-06	Demand analysis report	Report	20000-1 3ED IS 8.4.2 1.5 b) [At planned intervals,] the organization shall: b) monitor [and report on] demand and consumption of services. 20000-1 3ED IS 8.4.2 1.6 b) [At planned intervals,] the organization shall: b) [monitor and] report on demand and consumption of services.
09-07	Improvement opportunity evaluation report	Report	Improvement opportunities are evaluated against defined criteria.
09-08	Information security controls effectiveness evaluation report	Report	20000-1 3ED IS 8.7.3.2 4. The organization shall monitor and review the effectiveness of information security controls and take necessary actions.
09-09	Information security controls objectives	Report	20000-1 3ED IS 8.7.3.2 3.1 The organization [shall agree and implement] information security controls to address information security risks related to external organizations.

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
09-10	Information security incident analysis report	Report	20000-1 3ED IS 8.7.3.3 2. The organization shall analyse the information security incidents by type, volume and impact on the SMS, services and interested parties.
09-11	New or changed services test report	Report	20000-1 3ED IS 8.5.2.3 1.1 The new or changed services shall be built [and tested to verify that they meet the service requirements, conform to the documented design and meet the agreed service acceptance criteria.] 20000-1 3ED IS 8.5.2.3 1.2 The new or changed services shall be [built and] tested to verify that they meet the service requirements, conform to the documented design and meet the agreed service acceptance criteria.
09-12	Problem analysis report	Report	20000-1 3ED IS 8.6.3 2. The organization shall undertake root cause analysis and determine potential actions to prevent the occurrence or recurrence of incidents.
09-13	Problem mitigation report	Report	20000-1 3ED IS 8.6.3 6. Where the root cause has been identified, but the problem has not been permanently resolved, the organization shall determine actions to reduce or eliminate the impact of the problem on the services.
09-14	Release acceptance review record	Report	20000-1 3ED IS 8.5.3 7. If the acceptance criteria are not met, the organization and interested parties shall make a decision on necessary actions and deployment.
09-15	Release acceptance test report	Report	20000-1 3ED IS 8.5.3 6. The release shall be verified against the [documented] acceptance criteria and approved before deployment.
09-16	Release performance analysis report	Report	20000-1 3ED IS 8.5.3 10.2 The success or failure of releases shall be [monitored and] analysed. 20000-1 3ED IS 8.5.3 12.1 The results and conclusions drawn from the analysis shall be recorded and reviewed [to identify opportunities for improvement.]
09-17	Risk analysis report	Report	Identified risks are analysed.
09-18	Risk assessment report	Report	20000-1 3ED IS 6.1.3 1.6 The organization shall [plan: b) how to: 2)] evaluate the effectiveness of these actions.
09-19	Risk treatment report	Report	Selected risks are treated.
09-20	Risk treatment selection report	Report	Risks are selected for treated.

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
09-21	Service continuity plan test report	Report	20000-1 3ED IS 8.7.2 6.1 [At planned intervals,] the service continuity plan(s) shall be tested against the service continuity requirements. 20000-1 3ED IS 8.7.2 7. The service continuity plan shall be re-tested after major changes to the service environment. 20000-1 3ED IS 8.7.2 8. The results of the tests shall be recorded. 20000-1 3ED IS 8.7.2 10. Where deficiencies are found, the organization shall take necessary actions. 20000-1 3ED IS 8.7.2 11. The organization shall report on the cause, impact and recovery when the service continuity plan(s) has been invoked.
09-22	Service report	Report	20000-1 3ED IS 8.7.3.3 3.1 Information security incidents shall be reported and reviewed [to identify opportunities for improvement.]
09-23	Services provision costs against budget variance report	Report	20000-1 3ED IS 8.4.1 3.1 [At planned intervals,] the organization shall monitor [and report] on actual costs against the budget, review the financial forecasts and manage costs. 20000-1 3ED IS 8.4.1 3.2 [At planned intervals,] the organization shall [monitor and] report on actual costs against the budget, review the financial forecasts and manage costs.
09-24	Supplier performance evaluation report	Report	20000-1 3ED IS 8.3.4.1 4.1 The organization shall assess the alignment of service level targets or other contractual obligations for the external supplier against SLAs with customers, [and manage identified risks.] 20000-1 3ED IS 8.3.4.1 4.2 The organization shall [assess the alignment of service level targets or other contractual obligations for the external supplier against SLAs with customers, and] manage identified risks.
11-1	Configuration item change request	Request	20000-1 3ED IS 8.2.6 10. Configuration information shall be made available for other service management activities as appropriate.
11-2	Supplier agreement change request	Request	20000-1 3ED IS 8.3.4.1 9. Changes identified for the contract shall be assessed for the impact of the change on the SMS and the services before the change is approved.
12-01	Alternative party process requirements	Specification	20000-1 3ED IS 8.2.3.1 3. Other parties can be an external supplier, an internal supplier or a customer acting as a supplier. 20000-1 3ED IS 8.2.3.1 4. Other parties shall not provide or operate all services, service components or processes within the scope of the SMS.

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
12-02	Business relationship management process requirements	Specification	20000-1 3ED IS 7.4 1.1 a) The organization shall determine the internal and external communications relevant to the SMS and the services including: a) on what it will communicate; 20000-1 3ED IS 7.4 1.2 b) The organization shall determine the internal and external communications relevant to the SMS and the services including: b) when to communicate; 20000-1 3ED IS 7.4 1.3 c) The organization shall determine the internal and external communications relevant to the SMS and the services including: c) with whom to communicate; 20000-1 3ED IS 7.4 1.4 d) The organization shall determine the internal and external communications relevant to the SMS and the services including: d) how to communicate; 20000-1 3ED IS 7.4 1.5 e) The organization shall determine the internal and external communications relevant to the SMS and the services including: e) who will be responsible for the communication. 20000-1 3ED IS 8.3.2 4. The organization shall establish arrangements for communicating with its customers and other interested parties. 20000-1 3ED IS 8.3.2 5. The communication shall promote understanding of the evolving business environment in which the services operate and shall enable the organization to respond to new or changed service requirements.
12-03	Capacity requirements	Specification	20000-1 3ED IS 8.4.3 1.1 The capacity requirements for human, technical, information and financial resources shall be determined, [documented and maintained] taking into consideration the service and performance requirements. 20000-1 3ED IS 8.4.3 1.2 [The capacity requirements for human, technical, information and financial resources shall be determined], documented [and maintained taking into consideration the service and performance requirements.] 20000-1 3ED IS 8.4.3 1.3 [The capacity requirements for human, technical, information and financial resources shall be determined, documented and] maintained [taking into consideration the service and performance requirements.]

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
12-04	Demand requirements	Specification	20000-1 3ED IS 8.4.2 1.1 a) [At planned intervals,] the organization shall: a) determine current demand [and forecast future demand for services;] 20000-1 3ED IS 8.4.2 1.2 a) [At planned intervals,] the organization shall: a) [determine current demand and] forecast future demand for services;
12-05	Incident management process requirements	Specification	20000-1 3ED IS 8.6.2 2. Records of service requests shall be updated with actions taken.
12-06	New or changed service requirements	Specification	20000-1 3ED IS 8.2.2 1.1 The service requirements for existing services, new services and changes to services shall be determined [and documented.] 20000-1 3ED IS 8.2.2 1.2 The service requirements for existing services, new services and changes to services shall be [determined and] documented. 20000-1 3ED IS 8.2.2 2. The organization shall determine the criticality of services based on the needs of the organization, customers, users and other interested parties. 20000-1 3ED IS 8.2.2 3. The organization shall determine and manage dependencies and duplication between services. 20000-1 3ED IS 8.2.2 4. The organization shall propose changes where needed to align the services with the service management policy, service management objectives and service requirements, taking into consideration known limitations and risks. 20000-1 3ED IS 8.2.2 5. The organization shall prioritize requests for change and proposals for new or changed services to align with business needs and service management objectives, taking into consideration available resources.

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
12-07	New or changed service specification	Specification	20000-1 3ED IS 8.5.2.2 2.1 a) The design shall include relevant items from the following: a) authorities and responsibilities of the parties involved in the delivery of the new or changed services; 20000-1 3ED IS 8.5.2.2 2.2 b) The design shall include relevant items from the following: b) requirements for changes to human, technical, information and financial resources; 20000-1 3ED IS 8.5.2.2 2.3 c) The design shall include relevant items from the following: c) requirements for appropriate education, training and experience; 20000-1 3ED IS 8.5.2.2 2.4 d) The design shall include relevant items from the following: d) new or changed SLAs, contracts and other documented agreements that support the services; 20000-1 3ED IS 8.5.2.2 2.5 e) The design shall include relevant items from the following: e) changes to the SMS including new or changed policies, plans, processes, procedures, measures and knowledge; 20000-1 3ED IS 8.5.2.2 2.6 f) The design shall include relevant items from the following: f) impact on other services; 20000-1 3ED IS 8.5.2.2 2.7 g) The design shall include relevant items from the following: g) updates to the service catalogue(s).
12-08	New or changed services process integration needs	Specification	20000-1 3ED IS 8.5.2.3 3. Release and deployment management shall be used to deploy approved new or changed services into the live environment.
12-09	Problem management process integration needs	Specification	20000-1 3ED IS 8.6.3 8. Up-to-date information on known errors and problem resolutions shall be made available for other service management activities as appropriate.
12-10	Problem management process requirements	Specification	20000-1 3ED IS 8.6.3 5. Changes needed for problem resolution shall be managed according to the change management policy.
12-11	Release management process integration needs	Specification	20000-1 3ED IS 8.5.3 13. Information about the success or failure of releases and future release dates shall be made available for other service management activities as appropriate.

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
12-12	Service availability requirements	Specification	20000-1 3ED IS 8.7.1 2. The organization shall determine the service availability requirements and targets. 20000-1 3ED IS 8.7.1 3. The agreed requirements shall take into consideration relevant business requirements, service requirements, SLAs and risks. 20000-1 3ED IS 8.7.1 4. Service availability requirements and targets shall be documented and maintained.
12-13	Service continuity management process requirements	Specification	20000-1 3ED IS 8.7.2 5.6 f) The service continuity plan(s) and list of contacts shall be accessible when access to the normal service location is prevented.
12-14	Service continuity requirements	Specification	20000-1 3ED IS 8.7.2 2. The organization shall determine the service continuity requirements. 20000-1 3ED IS 8.7.2 3. The agreed requirements shall take into consideration relevant business requirements, service requirements, SLAs and risks.
12-15	Service management competency requirements	Specification	20000-1 3ED IS 7.2 1.1 The organization shall: a) determine the necessary competence of persons doing work under its control that affects the performance and effectiveness of the SMS and the services;
12-16	Service management process interface requirements	Specification	20000-1 3ED IS 8.2.3.1 1. The organization shall retain accountability for the requirements specified in this document and the delivery of the services regardless of which party is involved in performing activities to support the service lifecycle. 20000-1 3ED IS 8.2.3.1 2. The organization shall determine and apply criteria for the evaluation and selection of other parties involved in the service lifecycle. 20000-1 3ED IS 8.2.3.2 1.1 a) The organization shall define and apply controls for other parties that include: a) measurement and evaluation of process performance;

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Table B.3 *(continued)*

Reference	Name	Category	Characteristics
12-17	Supplier management process integration needs	Specification	20000-1 3ED IS 8.2.3.1 5.1 The organization shall determine [and document]: a) services that are provided or operated by other parties; 20000-1 3ED IS 8.2.3.1 5.2 The organization shall [determine and] document: a) services that are provided or operated by other parties; 20000-1 3ED IS 8.2.3.1 5.3 The organization shall determine [and document]: b) service components that are provided or operated by other parties; 20000-1 3ED IS 8.2.3.1 5.4 The organization shall [determine and] document: b) service components that are provided or operated by other parties; 20000-1 3ED IS 8.2.3.1 5.5 The organization shall determine [and document]: c) processes, or parts of processes, in the organization's SMS that are operated by other parties. 20000-1 3ED IS 8.2.3.1 5.6 The organization shall [determine and] document: c) processes, or parts of processes, in the organization's SMS that are operated by other parties. 20000-1 3ED IS 8.2.3.2 1.2 b) The organization shall define and apply controls for other parties that include: b) measurement and evaluation of the effectiveness of services and service components in the fulfilment of service requirements. 20000-1 3ED IS 8.1 3. The organization shall ensure that outsourced processes are controlled (see ISO/IEC 20000-1:2018, 8.2.3).

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Annex C
(informative)

Mapping between base practices and ISO/IEC 20000-1 requirements

C.1 General

This document provides a process assessment model for assessing the process capability of processes associated with a service management (SMS). ISO/IEC 20000-1 provides requirements for the establishment of an SMS System. This annex identifies a process capability profile (level 1) that is implied by the requirements associated with a management system conformant to ISO/IEC 20000-1.

C.2 Mappings of base practices with requirements

Table C.1 identifies each base practice with the associated singular requirements from ISO/IEC 20000-1, and the implied information item.

NOTE Not all the base practices identified in Clause 5 will correspond to an entry in Table C.1. Table C.3 identifies the base practices associated with outcomes that were added to the process reference model in order to represent well-formed processes.

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Table C.1 — Mappings of base practices with singular requirements of ISO/IEC 20000-1

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.01 Communication management				
COM.01.BP.1	**Define information content**. The organization determines the internal and external communications relevant to the SMS and the services including on what it will communicate.	07.4	1.1 a) The organization shall determine the internal and external communications relevant to the SMS and the services including: a) on what it will communicate;	12-02 Business relationship management process requirements
COM.01.BP.2	**Identify parties to communicate with**. The service management policy is communicated within the organization.	05.2.2	1.2 b) The service management policy shall: b) be communicated within the organization;	05-9 Service management policy
COM.01.BP.3	**Identify the parties responsible for the communication**. The organization determines the internal and external communications relevant to the SMS and the services including who will be responsible for the communication.	07.4	1.5 e) The organization shall determine the internal and external communications relevant to the SMS and the services including: e) who will be responsible for the communication;	12-02 Business relationship management process requirements
COM.01.BP.4	**Identify events that require communication**. The organization determines the internal and external communications relevant to the SMS and the services including when to communicate.	07.4	1.2 b) The organization shall determine the internal and external communications relevant to the SMS and the services including: b) when to communicate;	12-02 Business relationship management process requirements
COM.01.BP.5	**Select the channel for communication**. The channel for communication is selected.	07.4	1.4 d) The organization shall determine the internal and external communications relevant to the SMS and the services including: d) how to communicate;	12-02 Business relationship management process requirements
COM.01.BP.6	**Communicate information products to relevant parties**. Top management establishes a service management policy that provides a framework for setting service management objectives.	05.2.1	1.1 a) Top management shall establish a service management policy that: a) is appropriate to the purpose of the organization;	05-9 Service management policy
COM.01.BP.6	**Communicate information products to relevant parties**. The service management policy is available to interested parties, as appropriate.	05.2.2	1.3 c) The service management policy shall: c) be available to interested parties, as appropriate.	05-9 Service management policy

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.01.BP.6	**Communicate information products to relevant parties**. The service management objectives are communicated.	06.2.1	2.5 The service management objectives shall: e) be communicated;	03-25 Service management objectives
COM.01.BP.6	**Communicate information products to relevant parties**. 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.	08.3.2	5. The communication shall promote understanding of the evolving business environment in which the services operate and shall enable the organization to respond to new or changed service requirements.	12-02 Business relationship management process requirements
COM.01.BP.6	**Communicate information products to relevant parties**. Proposed deployment dates and other deployment details for approved changes are communicated to interested parties.	08.5.1.3	5.2 [Proposed deployment dates and other deployment details for approved changes] shall be communicated to interested parties.	04-06 Change schedule
COM.01.BP.6	**Communicate information products to relevant parties**. Following the completion of the transition activities, the organization reports to interested parties on the achievements against the intended outcomes.	08.5.2.3	4. Following the completion of the transition activities, the organization shall report to interested parties on the achievements against the intended outcomes.	08-27 Services stakeholder communication record
COM.01.BP.6	**Communicate information products to relevant parties**. Top management is informed of major incidents.	08.6.1	5. Top management shall be informed of major incidents.	08-11 Incident stakeholder communication record
COM.01.BP.6	**Communicate information products to relevant parties**. The information security policy is made available as appropriate.	08.7.3.1	3. The information security policy shall be made available as appropriate.	05-7 Information security policy
COM.01.BP.6	**Communicate information products to relevant parties**. 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.	08.7.3.1	4.1 a) The organization shall communicate the importance of conforming to the information security policy and its applicability to the SMS and the services to appropriate persons within: a) the organization;	08-14 Information security policy communication record

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.01.BP.6	**Communicate information products to relevant parties**. 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.	08.7.3.1	4.2 b) The organization shall communicate the importance of conforming to the information security policy and its applicability to the SMS and the services to appropriate persons within: b) customers and users;	08-14 Information security policy communication record
COM.01.BP.6	**Communicate information products to relevant parties**. 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.	08.7.3.1	4.3 c) The organization shall communicate the importance of conforming to the information security policy and its applicability to the SMS and the services to appropriate persons within: c) external suppliers, internal suppliers and other interested parties;	08-14 Information security policy communication record
COM.01.BP.6	**Communicate information products to relevant parties**. The organization ensures that the results of the audits are reported to relevant management.	09.2.2	1.6 d) The organization shall: d) ensure that the results of the audits are reported to relevant management;	08-01 Audit nonconformance communication record
COM.01.BP.6	**Communicate information products to relevant parties**. Agreed actions arising from service reporting are communicated to interested parties.	09.4	5. The agreed actions shall be communicated to interested parties.	08-25 Service report communication record
COM.02 Documentation management				
COM.02.BP.1	**Identify information to documented.** The organization documents risks related to the organization.	06.1.2	1.2 The organization shall [determine and] document: a) risks related to: 1) the organization;	03-08 Management review objectives
COM.02.BP.1	**Identify information to documented.** The organization documents risks related to not meeting the service requirements.	06.1.2	1.4 The organization shall [determine and] document: a) risks related to: 2) not meeting the service requirements;	03-14 Management system strategy: Management commitment
COM.02.BP.1	**Identify information to documented.** The organization documents risks related to the involvement of other parties in the service lifecycle.	06.1.2	1.6 The organization shall [determine and] document: a) risks related to: 3) the involvement of other parties in the service lifecycle;	03-22 Risk and opportunity identification

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.02.BP.1	**Identify information to documented.** The organization documents the impact on customers of risks and opportunities for the SMS and the services.	06.1.2	1.8 The organization shall [determine and] document: b) the impact on customers of risks and opportunities for the SMS and the services;	03-23 Risk assessment criteria
COM.02.BP.1	**Identify information to documented.** The organization documents the approach to be taken for the management of risks.	06.1.2	1.13 The organization shall [determine and] document: d) approach to be taken for the management of risks.	04-16 Service management plan
COM.02.BP.1	**Identify information to documented.** The documented information for the SMS includes change management policy, information security policy and service continuity plan(s).	07.5.4	1.4 d) The documented information for the SMS shall include: d) change management policy, information security policy and service continuity plan(s);	03-11 Management system strategy: Documentation
COM.02.BP.1	**Identify information to documented.** The organization retains documented information on the service management objectives.	06.2.1	3. The organization shall retain documented information on the service management objectives.	03-25 Service management objectives
COM.02.BP.1	**Identify information to documented.** 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.	07.5.2	1.1 a) When creating and updating documented information, the organization shall ensure appropriate: a) identification and description (e.g. a title, date, author, or reference number);	06-1 Document management procedure
COM.02.BP.1	**Identify information to documented.** Documented information of external origin determined by the organization to be necessary for the planning and operation of the SMS is controlled.	07.5.3.2	2.2 Documented information of external origin determined by the organization to be necessary for the planning and operation of the SMS shall be [identified as appropriate, and] controlled.	06-1 Document management procedure
COM.02.BP.1	**Identify information to documented.** The service management policy is available as documented information.	05.2.2	1.1 a) The service management policy shall: a) be available as documented information;	05-9 Service management policy
COM.02.BP.1	**Identify information to documented.** The documented information for the SMS includes the scope of the SMS.	07.5.4	1.1 a) The documented information for the SMS shall include: a) scope of the SMS;	03-11 Management system strategy: Documentation

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.02.BP.1	**Identify information to documented.** The documented information for the SMS includes policy and objectives for service management.	07.5.4	1.2 b) The documented information for the SMS shall include: b) policy and objectives for service management;	03-11 Management system strategy: Documentation
COM.02.BP.1	**Identify information to documented.** The documented information for the SMS includes a service management plan.	07.5.4	1.3 c) The documented information for the SMS shall include: c) service management plan;	03-11 Management system strategy: Documentation
COM.02.BP.1	**Identify information to documented.** The organization retains appropriate documented information as evidence of competence.	07.2	1.4 The organization shall: d) retain appropriate documented information as evidence of competence.	08-23 Service management training record
COM.02.BP.1	**Identify information to documented.** The documented information for the SMS includes processes of the organization's SMS.	07.5.4	1.5 e) The documented information for the SMS shall include: e) processes of the organization's SMS;	03-11 Management system strategy: Documentation
COM.02.BP.1	**Identify information to documented.** The documented information for the SMS includes service requirements.	07.5.4	1.6 f) The documented information for the SMS shall include: f) service requirements;	03-11 Management system strategy: Documentation
COM.02.BP.1	**Identify information to documented.** Documented information of external origin determined by the organization to be necessary for the planning and operation of the SMS is identified as appropriate.	07.5.3.2	2.1 Documented information of external origin determined by the organization to be necessary for the planning and operation of the SMS shall be identified as appropriate, [and controlled.]	06-1 Document management procedure
COM.02.BP.1	**Identify information to documented.** The documented information for the SMS includes service catalogue(s).	07.5.4	1.7 g) The documented information for the SMS shall include: g) service catalogue(s);	03-11 Management system strategy: Documentation
COM.02.BP.1	**Identify information to documented.** The organization documents risk acceptance criteria.	06.1.2	1.11 The organization shall [determine and] document: c) risk acceptance criteria;	03-23 Risk assessment criteria
COM.02.BP.1	**Identify information to documented.** The documented information for the SMS includes procedures that are required by ISO/IEC 20000-1.	07.5.4	1.11 k) The documented information for the SMS shall include: k) procedures that are required by this document;	03-11 Management system strategy: Documentation

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.02.BP.1	**Identify information to documented.** 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.	07.5.4	1.12 l) The documented information for the SMS shall include: l) records required to demonstrate evidence of conformity to the requirements of this document and the organisation's SMS;	03-11 Management system strategy: Documentation
COM.02.BP.1	**Identify information to documented.** The organization determines the knowledge necessary to support the operation of the SMS and the services.	07.6	1.1 The organization shall determine [and maintain] the knowledge necessary to support the operation of the SMS and the services.	03-13 Management system strategy: Knowledge
COM.02.BP.1	**Identify information to documented.** The organization maintains the knowledge necessary to support the operation of the SMS and the services.	07.6	1.2 The organization shall [determine and] maintain the knowledge necessary to support the operation of the SMS and the services.	03-13 Management system strategy: Knowledge
COM.02.BP.1	**Identify information to documented.** 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.	08.1	1.3 c) The organization shall plan, implement and control the processes needed to fulfil requirements, and to implement the actions determined in 6 by: c) keeping documented information to the extent necessary to have confidence that the processes have been carried out as planned.	04-10 New or changed service plan
COM.02.BP.1	**Identify information to documented.** The service requirements for existing services, new services and changes to services are documented.	08.2.2	1.2 The service requirements for existing services, new services and changes to services shall be [determined and] documented.	12-06 New or changed service requirements
COM.02.BP.1	**Identify information to documented.** The organization documents services that are provided or operated by other parties.	08.2.3.1	5.2 The organization shall [determine and] document: a) services that are provided or operated by other parties;	12-17 Supplier management process integration needs
COM.02.BP.1	**Identify information to documented.** The organization documents service components that are provided or operated by other parties.	08.2.3.1	5.4 The organization shall [determine and] document: b) service components that are provided or operated by other parties;	12-17 Supplier management process integration needs

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.02.BP.1	**Identify information to documented.** The organization documents processes, or parts of processes, in the organization's SMS that are operated by other parties.	08.2.3.1	5.6 The organization shall [determine and] document: c) processes, or parts of processes, in the organization's SMS that are operated by other parties.	12-17 Supplier management process integration needs
COM.02.BP.1	**Identify information to documented.** Configuration information is recorded to a level of detail appropriate to the criticality and type of services.	08.2.6	2. Configuration information shall be recorded to a level of detail appropriate to the criticality and type of services.	05-4 Configuration item definition policy
COM.02.BP.1	**Identify information to documented.** The configuration information recorded for each CI includes unique identification.	08.2.6	4.1 a) The configuration information recorded for each CI shall include: a) unique identification;	08-06 Configuration item record
COM.02.BP.1	**Identify information to documented.** The configuration information recorded for each CI includes the type of CI.	08.2.6	4.2 b) The configuration information recorded for each CI shall include: b) type of CI;	05-4 Configuration item definition policy
COM.02.BP.1	**Identify information to documented.** The configuration information recorded for each CI includes a description of the CI.	08.2.6	4.3 c) The configuration information recorded for each CI shall include: c) description of the CI;	05-4 Configuration item definition policy
COM.02.BP.1	**Identify information to documented.** The configuration information recorded for each CI includes the relationship with other CIs.	08.2.6	4.4 d) The configuration information recorded for each CI shall include: d) relationship with other CIs;	05-4 Configuration item definition policy
COM.02.BP.1	**Identify information to documented.** Configuration information is made available for other service management activities as appropriate.	08.2.6	10. Configuration information shall be made available for other service management activities as appropriate.	11-1 Configuration item change request
COM.02.BP.1	**Identify information to documented.** The customers, users and other interested parties of the services are documented.	08.3.2	1.2 The customers, users and other interested parties of the services shall be [identified and] documented.	02-13 Service stakeholder list
COM.02.BP.1	**Identify information to documented.** For each service delivered, the organization establishes one or more SLAs based on the documented service requirements.	08.3.3	2.2 [For each service delivered, the organization shall establish one or more SLAs based on the] documented service requirements.	01-1 Service level agreement

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.02.BP.1	**Identify information to documented.** For each external supplier, the organisation agrees a documented contract.	08.3.4.1	2.2 [For each external supplier, the organisation shall agree a] documented [contract].	01-2 Supplier agreement
COM.02.BP.1	**Identify information to documented.** Disputes between the organization and the external supplier are recorded.	08.3.4.1	10.2 Disputes between the organization and the external supplier shall be recorded [and managed to closure].	06-7 Supplier agreement dispute procedure
COM.02.BP.1	**Identify information to documented.** 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.	08.3.4.2	1.2 [For each internal supplier or customer acting as a supplier, the organization shall develop, agree and maintain a] documented [agreement to define the service level targets, other commitments, activities and interfaces between, the parties.]	01-2 Supplier agreement
COM.02.BP.1	**Identify information to documented.** The capacity requirements for human, technical, information and financial resources are documented.	08.4.3	1.2 [The capacity requirements for human, technical, information and financial resources shall be determined], documented [and maintained taking into consideration the service and performance requirements.]	12-03 Capacity requirements
COM.02.BP.1	**Identify information to documented.** A change management policy is documented to define service components and other items that are under the control of change management.	08.5.1.1	1.2 a) A change management policy shall be [established and] documented to define: a) service components and other items that are under the control of change management;	05-2 Change Management policy
COM.02.BP.1	**Identify information to documented.** A change management policy is documented that defines categories of change, including emergency change, and how they are to be managed.	08.5.1.1	1.4 b) A change management policy shall be [established and] documented that defines: b) categories of change, including emergency change, and how they are to be managed;	05-2 Change Management policy
COM.02.BP.1	**Identify information to documented.** A change management policy is documented that defines criteria to determine changes with the potential to have a major impact on customers or services.	08.5.1.1	1.6 c) A change management policy shall be [established and] documented that defines: c) criteria to determine changes with the potential to have a major impact on customers or services.	05-2 Change Management policy
COM.02.BP.1	**Identify information to documented.** The results and conclusions drawn from the analysis are recorded.	08.5.1.3	11.1 The results and conclusions drawn from the analysis shall be recorded and reviewed [to identify opportunities for improvement.]	09-03 Change analysis report

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.02.BP.1	**Identify information to documented.** The new or changed services are documented to meet the service requirements determined in ISO/IEC 20000-1:2018, 8.2.2.	08.5.2.2	1.2 The new or changed services shall [be designed and] documented to meet the service requirements determined in ISO/IEC 20000-1:2018, 8.2.2.	03-17 New or changed service design
COM.02.BP.1	**Identify information to documented.** The results and conclusions drawn from the analysis are recorded.	08.5.3	12.1 The results and conclusions drawn from the analysis shall be recorded and reviewed [to identify opportunities for improvement.]	09-16 Release performance analysis report
COM.02.BP.1	**Identify information to documented.** Records of incidents are updated with actions taken.	08.6.1	2. Records of incidents shall be updated with actions taken.	06-2 Incident management procedure
COM.02.BP.1	**Identify information to documented.** The risks to service availability are documented.	08.7.1	1.2 [At planned intervals,] the risks to service availability shall be [assessed and] documented.	03-22 Risk and opportunity identification
COM.02.BP.1	**Identify information to documented.** The risks to service continuity are documented.	08.7.2	1.2 [At planned intervals,] the risks to service continuity shall be [assessed and] documented.	03-22 Risk and opportunity identification
COM.02.BP.1	**Identify information to documented.** The results of the [service continuity] tests are recorded.	08.7.2	9. The results of the tests shall be recorded.	09-21 Service continuity plan test report
COM.02.BP.1	**Identify information to documented.** The information security policy is documented and takes into consideration the service requirements and the obligations in ISO/IEC 20000-1:2018, 6.2.	08.7.3.1	2.2 [The information security policy shall be] documented [and take into consideration the service requirements and the obligations in ISO/IEC 20000-1:2018, 6.2.]	05-7 Information security policy
COM.02.BP.1	**Identify information to documented.** The information security risks to the SMS and the services are documented.	08.7.3.2	1.2 [At planned intervals,] the information security risks to the SMS and the services shall be [assessed and] documented.	03-22 Risk and opportunity identification
COM.02.BP.1	**Identify information to documented.** Decisions about security control are documented.	08.7.3.2	2.3 Decisions about security control shall be documented.	03-04 Information security controls report
COM.02.BP.1	**Identify information to documented.** The organization retains appropriate documented information as evidence of the results.	09.1	2. The organization shall retain appropriate documented information as evidence of the results.	03-16 MS Measurement information gathering events

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.02.BP.1	**Identify information to documented.** The organization retains documented information as evidence of the implementation of the audit programme and the audit results.	09.2.2	1.7 d) The organization shall: e) retain documented information as evidence of the implementation of the audit programme and the audit results.	08-02 Audit result
COM.02.BP.1	**Identify information to documented.** The organization retains documented information as evidence of the results of management reviews.	09.3	4. The organization shall retain documented information as evidence of the results of management reviews.	02-04 Management review issue log
COM.02.BP.1	**Identify information to documented.** The organization retains documented information as evidence of the nature of the nonconformities and any subsequent actions taken.	10.1.2	1.1 a) The organization shall retain documented information as evidence of: a) the nature of the nonconformities and any subsequent actions taken;	08-18 Non-conformity record
COM.02.BP.1	**Identify information to documented.** The organization retains documented information as evidence of the results of any corrective action.	10.1.2	1.2 b) The organization shall retain documented information as evidence of: b) the results of any corrective action.	08-18 Non-conformity record
COM.02.BP.1	**Identify information to documented.** Opportunities for improvement are documented.	10.2	4. Opportunities for improvement shall be documented.	05-6 Improvement policy
COM.02.BP.1	**Identify information to documented.** Service availability requirements and targets are documented.	08.7.1	4. Service availability requirements and targets shall be documented and maintained.	12-12 Service availability requirements
COM.02.BP.2	**Define the forms of documented information representation.** When creating and updating documented information, the organization ensures appropriate format (e.g. language, software version, graphics) and media (e.g. paper, electronic).	07.5.2	1.2 b) When creating and updating documented information, the organization shall ensure appropriate: b) format (e.g. language, software version, graphics) and media (e.g. paper, electronic);	06-1 Document management procedure
COM.02.BP.4	**Documented information is current, complete and valid.** The scope of the SMS is maintained as documented information.	04.3	4.2 The scope of the SMS shall be [available and be] maintained as documented information.	03-30 Service management system scope

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.02.BP.4	**Documented information is current, complete and valid.** When creating and updating documented information, the organization ensures appropriate review and approval for suitability and adequacy.	07.5.2	1.3 c) When creating and updating documented information, the organization shall ensure appropriate: c) review and approval for suitability and adequacy.	06-1 Document management procedure
COM.02.BP.4	**Documented information is current, complete and valid.** For the control of documented information, the organization addresses the following activities, as applicable, storage and preservation, including preservation of legibility.	07.5.3.2	1.2 b) For the control of documented information, the organization shall address the following activities, as applicable: b) storage and preservation, including preservation of legibility;	06-1 Document management procedure
COM.02.BP.4	**Documented information is current, complete and valid.** For the control of documented information, the organization addresses the following activities, as applicable, control of changes (e.g. version control).	07.5.3.2	1.3 c) For the control of documented information, the organization shall address the following activities, as applicable: c) control of changes (e.g. version control);	06-1 Document management procedure
COM.02.BP.4	**Documented information is current, complete and valid.** The knowledge is relevant and usable.	07.6	2.1 The knowledge shall be relevant, usable [and available to appropriate persons.]	03-13 Management system strategy: Knowledge
COM.02.BP.4	**Documented information is current, complete and valid.** The organization maintains one or more service catalogues.	08.2.4	1.2 The organization shall [create and] maintain one or more service catalogues.	03-24 Service catalogue
COM.02.BP.4	**Documented information is current, complete and valid.** The capacity requirements for human, technical, information and financial resources are maintained.	08.4.3	1.3 [The capacity requirements for human, technical, information and financial resources shall be determined, documented and] maintained [taking into consideration the service and performance requirements.]	12-03 Capacity requirements
COM.02.BP.4	**Documented information is current, complete and valid.** Records of service requests are updated with actions taken.	08.6.2	2. Records of service requests shall be updated with actions taken.	12-05 Incident management process requirements
COM.02.BP.4	**Documented information is current, complete and valid.** Records of problems are updated with actions taken.	08.6.3	4. Records of problems shall be updated with actions taken.	06-4 Problem management procedure

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Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.02.BP.5	**Release documented information according to defined criteria.** Management with appropriate authority approves an information security policy relevant to the organization.	08.7.3.1	1.2 [Management with appropriate authority] shall approve an information security policy relevant to the organization.	08-13 Information security policy approval record
COM.02.BP.5	**Release documented information according to defined criteria.** The organization agrees information security controls to address information security risks related to external organizations.	08.7.3.2	3.2 The organization shall agree [and implement] information security controls to address information security risks related to external organizations.	08-12 Information security controls approval record
COM.02.BP.6	**Make documented information available to relevant interested parties.** The scope of the SMS is available as documented information.	04.3	4.1 The scope of the SMS shall be available [and be maintained] as documented information.	03-30 Service management system scope
COM.02.BP.6	**Make documented information available to relevant interested parties.** 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.	07.5.3.1	1.1 a) Documented information required by the SMS and by this document shall be controlled to ensure: a) it is available and suitable for use, where and when it is needed;	06-1 Document management procedure
COM.02.BP.6	**Make documented information available to relevant interested parties.** 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).	07.5.3.1	1.2 b) Documented information required by the SMS and by this document shall be controlled to ensure: b) it is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity).	06-5 Records management procedure
COM.02.BP.6	**Make documented information available to relevant interested parties.** For the control of documented information, the organization addresses the following activities, as applicable, distribution, access, retrieval and use.	07.5.3.2	1.1 a) For the control of documented information, the organization shall address the following activities, as applicable: a) distribution, access, retrieval and use;	06-1 Document management procedure
COM.02.BP.6	**Make documented information available to relevant interested parties.** The knowledge is available to appropriate persons.	07.6	2.2 The knowledge shall be [relevant, usable and] available to appropriate persons.	03-13 Management system strategy: Knowledge

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.02.BP.6	**Make documented information available to relevant interested parties.** The organization provides access to appropriate parts of the service catalogue to its customers, users and other interested parties.	08.2.4	3. The organization shall provide access to appropriate parts of the service catalogue to its customers, users and other interested parties.	03-24 Service catalogue
COM.02.BP.6	**Make documented information available to relevant interested parties.** Access to configuration information is controlled.	08.2.6	3. Access to configuration information shall be controlled.	09-05 Configuration item audit report
COM.02.BP.6	**Make documented information available to relevant interested parties.** Information about the success or failure of releases and future release dates is made available for other service management activities as appropriate.	08.5.3	13. Information about the success or failure of releases and future release dates shall be made available for other service management activities as appropriate.	12-11 Release management process integration needs
COM.02.BP.6	**Make documented information available to relevant interested parties.** Instructions for the fulfilment of service requests are made available to persons involved in service request fulfilment.	08.6.2	3. Instructions for the fulfilment of service requests shall be made a available to persons involved in service request fulfilment.	06-6 Service request procedure
COM.02.BP.7	**Archive, or dispose, of documented information as required.** For the control of documented information, the organization addresses the following activities, as applicable, retention and disposition.	07.5.3.2	1.4 d) For the control of documented information, the organization shall address the following activities, as applicable: d) retention and disposition.	06-1 Document management procedure
COM.03 Human resource management				
COM.03.BP.1	**Identify competencies required by the organisation to produce product and services.** 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.	07.2	1.1 The organization shall: a) determine the necessary competence of persons doing work under its control that affects the performance and effectiveness of the SMS and the services;	12-15 Service management competency requirements

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Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.03.BP.2	**Fill identified competency gaps through training or recruitment.** The organization ensures that these persons are competent on the basis of appropriate education, training or experience.	07.2	1.2 The organization shall: b) ensure that these persons are competent on the basis of appropriate education, training or experience;	03-09 Management system strategy: Competency
COM.03.BP.2	**Fill identified competency gaps through training or recruitment.** The organization, where applicable, takes actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken.	07.2	1.3 The organization shall: c) where applicable, take actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken;	08-23 Service management training record
COM.03.BP.3	**Each person demonstrates an understanding of roles and activities in achieving organisational objectives.** Persons doing work under the organization's control are aware of the service management policy.	07.3	1.1 a) Persons doing work under the organization's control shall be aware of: a) the service management policy;	08-23 Service management training record
COM.03.BP.3	**Each person demonstrates an understanding of roles and activities in achieving organisational objectives.** Persons doing work under the organization's control are aware of the service management objectives.	07.3	1.2 b) Persons doing work under the organization's control shall be aware of: b) the service management objectives;	08-23 Service management training record
COM.03.BP.3	**Each person demonstrates an understanding of roles and activities in achieving organisational objectives.** Persons doing work under the organization's control are aware of the services relevant to their work.	07.3	1.3 c) Persons doing work under the organization's control shall be aware of: c) the services relevant to their work;	08-23 Service management training record
COM.03.BP.3	**Each person demonstrates an understanding of roles and activities in achieving organisational objectives.** 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.	07.3	1.4 d) Persons doing work under the organization's control shall be aware of: d) their contribution to the effectiveness of the SMS, including the benefits of improved performance;	08-23 Service management training record

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Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.03.BP.3	**Each person demonstrates an understanding of roles and activities in achieving organisational objectives.** Persons doing work under the organization's control are aware of the implications of not conforming with the SMS requirements.	07.3	1.5 e) Persons doing work under the organization's control shall be aware of: e) the implications of not conforming with the SMS requirements.	08-23 Service management training record
COM.04 Improvement				
COM.04.BP.1	**Identify opportunities for improvement.** Where service level targets are not met, the organization identifies opportunities for improvement.	08.3.3	5. Where service level targets are not met, the organization shall identify opportunities for improvement.	03-34 Services improvement opportunity
COM.04.BP.1	**Identify opportunities for improvement.** Where service level targets or other contractual obligations are not met, the organization ensures that opportunities for improvement are identified.	08.3.4.1	7.2 Where service level targets or other contractual obligations are not met, the organization shall ensure that opportunities for improvement are identified.	03-35 Supplier performance improvement opportunity
COM.04.BP.1	**Identify opportunities for improvement.** Where service level targets or other agreed commitments are not met, the organization ensures that opportunities for improvement are identified.	08.3.4.2	3.2 Where service level targets or other agreed commitments are not met, the organization shall ensure that opportunities for improvement are identified.	03-35 Supplier performance improvement opportunity
COM.04.BP.1	**Identify opportunities for improvement.** The results are analysed to identify opportunities for improvement.	08.3.2	8.2 [The results shall be analysed, reviewed] to identify opportunities for improvement and reported.	03-31 Service provision improvement opportunity
COM.04.BP.1	**Identify opportunities for improvement.** The results and conclusions drawn from the analysis of change management activities are reviewed to identify opportunities for improvement.	08.5.1.3	11.2 [The results and conclusions drawn from the analysis shall be recorded and reviewed] to identify opportunities for improvement.	03-02 Change improvement opportunity
COM.04.BP.1	**Identify opportunities for improvement.** The results and conclusions drawn from the analysis of release and deployment activities are reviewed to identify opportunities for improvement.	08.5.3	12.2 [The results and conclusions drawn from the analysis shall be recorded and reviewed] to identify opportunities for improvement.	03-21 Release performance improvement opportunity

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Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.04.BP.1	**Identify opportunities for improvement.** After the incident has been resolved, the major incident is reviewed to identify opportunities for improvement.	08.6.1	7.2 [After the incident has been resolved, the major incident shall be reported and reviewed] to identify opportunities for improvement.	03-07 Major incident improvement opportunity
COM.04.BP.1	**Identify opportunities for improvement.** Information security incidents are reviewed to identify opportunities for improvement.	08.7.3.3	3.2 [Information security incidents shall be reported and reviewed] to identify opportunities for improvement.	03-05 Information security improvement opportunity
COM.04.BP.2	**Evaluate improvement opportunities against defined criteria.** The organization applies evaluation criteria to the opportunities for improvement when making decisions on their approval.	10.2	2.2 [The organization shall determine evaluation criteria to be applied to the opportunities for improvement] when making decisions on their approval.	05-6 Improvement policy
COM.04.BP.3	**Prioritise improvement opportunities.** The organization manages improvement activities that includes ensuring that improvements are prioritized.	10.2	5.3 b) The organization shall manage [approved] improvement activities that include: b) ensuring that improvements are prioritized, [planned and implemented];	04-07 Improvement plan
COM.04.BP.4	**Implement improvements.** The organization manages improvement activities that include ensuring that improvements are implemented.	10.2	5.4 b) The organization shall manage [approved] improvement activities that include: b) ensuring that improvements are [prioritized,] planned and implemented;	04-07 Improvement plan
COM.04.BP.5	**Evaluate the effectiveness of implemented improvements.** 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.	10.2	5.6 d) The organization shall manage [approved] improvement activities that include: d) measuring implemented improvements against the target(s) set and where target(s) are not achieved, taking necessary actions;	04-07 Improvement plan
COM.05 Internal audit				
COM.05.BP.1	**Define the scope and purpose of each audit.** The organization defines the audit criteria and scope for each audit.	09.2.2	1.4 b) The organization shall: b) define the audit criteria and scope for each audit;	04-01 Audit plan

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Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.05.BP.2	**Assure the objectivity and impartiality of conduct of audits and the selection of auditors.** The organization selects auditors and conduct audits to ensure objectivity and the impartiality of the audit process.	09.2.2	1.5 c) The organization shall: c) select auditors and conduct audits to ensure objectivity and the impartiality of the audit process;	02-01 Auditor list
COM.05.BP.3	**Determine the conformity of selected services, products and processes with requirements, plans and agreements.** The organization conducts internal audits to provide information on whether the SMS conforms to the organization's own requirements for its SMS.	09.2.1	1.1 a) 1) The organization shall conduct internal audits [at planned intervals] to provide information on whether the SMS: a) conforms to: 1) the organization's own requirements for its SMS;	03-01 Audit objectives
COM.05.BP.3	**Determine the conformity of selected services, products and processes with requirements, plans and agreements.** The organization conducts internal audits to provide information on whether the SMS conforms to the requirements of ISO/IEC 20000-1.	09.2.1	1.2 a) 2) The organization shall conduct internal audits [at planned intervals] to provide information on whether the SMS: a) conforms to: 2) the requirements of this document;	03-01 Audit objectives
COM.05.BP.3	**Determine the conformity of selected services, products and processes with requirements, plans and agreements.** The organization conducts internal audits to provide information on whether the SMS is effectively implemented and maintained.	09.2.1	1.3 b) The organization shall conduct internal audits [at planned intervals] to provide information on whether the SMS:b) is effectively implemented and maintained.	03-01 Audit objectives
COM.06 Management review				
COM.06.BP.1	**Establish the objectives of the review.** The management review includes consideration of the status of actions from previous management reviews.	09.3	2.1 a) The management review shall include consideration of: a) the status of actions from previous management reviews;	03-08 Management review objectives
COM.06.BP.1	**Establish the objectives of the review.** The management review includes consideration of changes in external and internal issues that are relevant to the SMS.	09.3	2.2 b) The management review shall include consideration of: b) changes in external and internal issues that are relevant to the SMS;	03-08 Management review objectives

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Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.06.BP.1	**Establish the objectives of the review.** The management review includes consideration of information on the performance and effectiveness of the SMS, including trends in monitoring and measurement results.	09.3	2.3 c) 1) The management review shall include consideration of: [c) information on the performance and effectiveness of the SMS, including trends in: 1) nonconformities and corrective actions;]	03-08 Management review objectives
COM.06.BP.1	**Establish the objectives of the review.** The management review includes consideration of information on the performance and effectiveness of the SMS, including trends in nonconformities and corrective actions.	09.3	2.5 c) 2) The management review shall include consideration of: [c) information on the performance and effectiveness of the SMS, including trends in: 2) monitoring and measurement results;]	03-08 Management review objectives
COM.06.BP.1	**Establish the objectives of the review.** The management review includes consideration of information on the performance and effectiveness of the SMS, including trends in audit results.	09.3	2.7 c) 3) The management review shall include consideration of: [c) information on the performance and effectiveness of the SMS, including trends in: 3) audit results;]	03-08 Management review objectives
COM.06.BP.1	**Establish the objectives of the review.** The management review includes consideration of opportunities for continual improvement.	09.3	2.9 d) The management review shall include consideration of: d) opportunities for continual improvement.	03-08 Management review objectives
COM.06.BP.1	**Establish the objectives of the review.** The management review includes consideration of feedback from customers and other interested parties.	09.3	2.10 e) The management review shall include consideration of: e) feedback from customers and other interested parties;	03-08 Management review objectives
COM.06.BP.1	**Establish the objectives of the review.** The management review includes consideration of adherence to and suitability of the service management policy and other policies required by ISO/IEC 20000-1.	09.3	2.11 f) The management review shall include consideration of: f) adherence to and suitability of the service management policy and other policies required by this document;	03-08 Management review objectives
COM.06.BP.1	**Establish the objectives of the review.** The management review includes consideration of achievement of service management objectives.	09.3	2.12 g) The management review shall include consideration of: g) achievement of service management objectives;	03-08 Management review objectives
COM.06.BP.1	**Establish the objectives of the review.** The management review include consideration of performance of the services.	09.3	2.13 h) The management review shall include consideration of: h) performance of the services;	03-08 Management review objectives

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Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.06.BP.1	**Establish the objectives of the review.** The management review includes consideration of performance of other parties involved in the delivery of the services.	09.3	2.14 i) The management review shall include consideration of: i) performance of other parties involved in the delivery of the services;	03-08 Management review objectives
COM.06.BP.1	**Establish the objectives of the review.** The management review includes consideration of current and forecast human, technical, information and financial resource levels, and human and technical capabilities.	09.3	2.15 j) The management review shall include consideration of: j) current and forecast human, technical, information and financial resource levels, and human and technical capabilities;	03-08 Management review objectives
COM.06.BP.1	**Establish the objectives of the review.** The management review includes consideration of results of risk assessment and the effectiveness of actions taken to address risks and opportunities.	09.3	2.16 k) The management review shall include consideration of: k) results of risk assessment and the effectiveness of actions taken to address risks and opportunities (see ISO/IEC 20000-1:2018, 6.1);	03-08 Management review objectives
COM.06.BP.1	**Establish the objectives of the review.** The management review includes consideration of changes that can affect the SMS and the services.	09.3	2.17 l) The management review shall include consideration of: l) changes that can affect the SMS and the services;	03-08 Management review objectives
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.	05.3	2.1 a) Top management shall assign the responsibility and authority for: a) ensuring that the SMS conforms to the requirements of this document;	03-29 Service management roles and responsibilities
COM.06.BP.2	**Assess the status and performance of an activity or process in terms of the established objectives.** 2. Top management reviews the organization's SMS and the services, to ensure their continuing suitability, adequacy and effectiveness.	09.3	1.1 Top management shall review the organization's SMS and the services, [at planned intervals,] to ensure their continuing suitability, adequacy and effectiveness.	02-04 Management review issue log

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
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.	09.3	3. The outputs of the management review shall include decisions related to continual improvement opportunities and any need for changes to the SMS and the services.	02-04 Management review issue log
COM.07 Non-conformity management				
COM.07.BP.1	**Identify non-conformities.** 1. Non-conformities are identified.	10.1.1	1.1 a) 1) When a nonconformity occurs,[the organization shall: a) react to the nonconformity, and as applicable: 1) take action to control and correct it;]	08-17 Non-conformity disposition record
COM.07.BP.2	**Resolve and close non-conformities.** When a nonconformity occurs, the organization reacts to the nonconformity, and as applicable, takes action to control and correct it.	10.1.1	1.2 a) 1) When a nonconformity occurs, the organization shall: a) react to the nonconformity, and as applicable: 1) take action to control and correct it;	08-17 Non-conformity disposition record
COM.07.BP.2	**Resolve and close non-conformities.** When a nonconformity occurs, the organization reacts to the nonconformity, and as applicable, deal with the consequences.	10.1.1	1.3 a) 2) When a nonconformity occurs, the organization shall: a) react to the nonconformity, and as applicable: 2) deal with the consequences;	08-17 Non-conformity disposition record
COM.07.BP.3	**Determine the cause(s) of selected non-conformities.** 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.	10.1.1	1.4 b) 1)When a nonconformity occurs, the organization shall: b) evaluate the need for action to eliminate the causes of the nonconformity in order that it does not recur or occur elsewhere by: 1) reviewing the nonconformity;	08-07 Corrective action cause analysis record
COM.07.BP.3	**Determine the cause(s) of selected non-conformities.** 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.	10.1.1	1.5 b) 2) When a nonconformity occurs, the organization shall: b) evaluate the need for action to eliminate the causes of the nonconformity in order that it does not recur or occur elsewhere by: 2) determining the causes of the nonconformity;	08-07 Corrective action cause analysis record

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.07.BP.4	**Evaluate the need for action to eliminate the causes of non-conformities.** 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.	10.1.1	1.6 b) 3) When a nonconformity occurs, the organization shall: b) evaluate the need for action to eliminate the causes of the nonconformity in order that it does not recur or occur elsewhere by: 3) determining if similar nonconformities exist, or could potentially occur;	08-07 Corrective action cause analysis record
COM.07.BP.4	**Evaluate the need for action to eliminate the causes of non-conformities.** Corrective actions are appropriate to the effects of the nonconformities encountered.	10.1.1	2. Corrective actions shall be appropriate to the effects of the nonconformities encountered.	08-09 Corrective action record
COM.07.BP.5	**Implement a selected action proposal.** When a nonconformity occurs, the organization implements any action needed.	10.1.1	1.7 c) When a nonconformity occurs, the organization shall: c) implement any action needed;	08-08 Corrective action change proposal approval record
COM.07.BP.5	**Implement a selected action proposal.** When a nonconformity occurs, the organization makes changes to the SMS, if necessary.	10.1.1	1.9 e) When a nonconformity occurs, the organization shall: e) make changes to the SMS, if necessary.	08-08 Corrective action change proposal approval record
COM.07.BP.6	**Confirm the effectiveness of changes to eliminate the non-conformities.** When a nonconformity occurs, the organization reviews the effectiveness of any corrective action taken.	10.1.1	1.8 d) When a nonconformity occurs, the organization shall: d) review the effectiveness of any corrective action taken;	03-08 Management review objectives
COM.08 Operational planning				
COM.08.BP.1	**Identify process requirements.** The organization determines the approach to be taken for the management of risks.	06.1.2	1.12 The organization shall determine [and document]: d) approach to be taken for the management of risks.	04-16 Service management plan
COM.08.BP.1	**Identify process requirements.** When planning how to achieve its service management objectives, the organization determines what will be done.	06.2.2	1.1 a) When planning how to achieve its service management objectives, the organization shall determine: a) what will be done;	03-26 Service management planning objectives

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.08.BP.1	**Identify process requirements.** The organization uses service design and transition in ISO/IEC 20000-1:2018, 8.5.2 for transfer of an existing service from a customer or other party to the organization.	08.5.1.2	2.6 f) The organization shall use service design and transition in ISO/IEC 20000-1:2018, 8.5.2 for: f) transfer of an existing service from a customer or other party to the organization.	03-03 Change request classification criteria
COM.08.BP.1	**Identify process requirements.** The organization uses service design and transition in ISO/IEC 20000-1:2018, 8.5.2 for new services with the potential to have a major impact on customers or other services as determined by the change management policy.	08.5.1.2	2.1 a) The organization shall use service design and transition in ISO/IEC 20000-1:2018, 8.5.2 for: a) new services with the potential to have a major impact on customers or other services as determined by the change management policy;	03-03 Change request classification criteria
COM.08.BP.1	**Identify process requirements.** The organization uses service design and transition for categories of change that are to be managed by service design and transition in ISO/IEC 20000-1:2018, 8.5.2 according to the change management policy.	08.5.1.2	2.3 c) The organization shall use service design and transition for: c) categories of change that are to be managed by service design and transition in ISO/IEC 20000-1:2018, 8.5.2 according to the change management policy;	03-03 Change request classification criteria
COM.08.BP.1	**Identify process requirements.** The organization uses service design and transition in ISO/IEC 20000-1:2018, 8.5.2 for removal of a service.	08.5.1.2	2.4 d) The organization shall use service design and transition in ISO/IEC 20000-1:2018, 8.5.2 for: d) removal of a service;	03-03 Change request classification criteria
COM.08.BP.1	**Identify process requirements.** The organization uses service design and transition in ISO/IEC 20000-1:2018, 8.5.2 for transfer of an existing service from the organization to a customer or other party.	08.5.1.2	2.5 e) The organization shall use service design and transition in ISO/IEC 20000-1:2018, 8.5.2 for: e) transfer of an existing service from the organization to a customer or other party;	03-03 Change request classification criteria
COM.08.BP.1	**Identify process requirements.** The organization uses service design and transition in ISO/IEC 20000-1:2018, 8.5.2 for changes to services with the potential to have a major impact on customers or other services as determined by the change management policy.	08.5.1.2	2.2 b) The organization shall use service design and transition in ISO/IEC 20000-1:2018, 8.5.2 for: b) changes to services with the potential to have a major impact on customers or other services as determined by the change management policy;	03-03 Change request classification criteria

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.08.BP.1	**Identify process requirements.** 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.	08.5.1.2	3. Assessing, approving, scheduling and reviewing of new or changed services in the scope of ISO/IEC 20000-1:2018, 8.5.2 shall be managed through the change management activities in ISO/IEC 20000-1:2018, 8.5.1.3.	05-2 Change Management policy
COM.08.BP.1	**Identify process requirements.** 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.	08.5.1.2	4. Requests for change not being managed through ISO/IEC 20000-1:2018, 8.5.2 shall be managed through the change management activities in ISO/IEC 20000-1:2018, 8.5.1.3.	05-2 Change Management policy
COM.08.BP.1	**Identify process requirements.** The CIs affected by new or changed services are managed through configuration management.	08.5.2.1	4. The CIs affected by new or changed services shall be managed through configuration management.	05-5 Configuration management policy
COM.08.BP.1	**Identify process requirements.** Release and deployment management is used to deploy approved new or changed services into the live environment.	08.5.2.3	3. Release and deployment management shall be used to deploy approved new or changed services into the live environment.	12-08 New or changed services process integration needs
COM.08.BP.1	**Identify process requirements.** The organization determines criteria to identify a major incident.	08.6.1	3. The organization shall determine criteria to identify a major incident.	03-06 Major incident definition
COM.08.BP.1	**Identify process requirements.** Changes needed for problem resolution are managed according to the change management policy.	08.6.3	5. Changes needed for problem resolution shall be managed according to the change management policy.	12-10 Problem management process requirements
COM.08.BP.1	**Identify process requirements.** Up-to-date information on known errors and problem resolutions are made available for other service management activities as appropriate.	08.6.3	8. Up-to-date information on known errors and problem resolutions shall be made available for other service management activities as appropriate.	12-09 Problem management process integration needs
COM.08.BP.1	**Identify process requirements.** The service continuity plan(s) and list of contacts are accessible when access to the normal service location is prevented.	08.7.2	6 The service continuity plan(s) and list of contacts shall be accessible when access to the normal service location is prevented.	12-13 Service continuity management process requirements

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Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.08.BP.1	**Identify process requirements.** The organization determines when the monitoring and measuring shall be performed.	09.1	1.3 c) The organization shall determine: c) when the monitoring and measuring shall be performed;	03-16 MS Measurement information gathering events
COM.08.BP.1	**Identify process requirements.** The organization determines when the results from monitoring and measurement are analysed and evaluated.	09.1	1.4 d) The organization shall determine: d) when the results from monitoring and measurement shall be analysed and evaluated.	03-16 MS Measurement information gathering events
COM.08.BP.1	**Identify process requirements.** The organization determines evaluation criteria to be applied to the opportunities for improvement when making decisions on their approval.	10.2	2.1 The organization shall determine evaluation criteria to be applied to the opportunities for improvement [when making decisions on their approval.]	05-6 Improvement policy
COM.08.BP.1	**Identify process requirements.** Evaluation criteria include alignment of the improvement with service management objectives.	10.2	3. Evaluation criteria shall include alignment of the improvement with service management objectives.	05-6 Improvement policy
COM.08.BP.2	**Determine process input and output products.** Top management demonstrates leadership and commitment with respect to the SMS by ensuring that the SMS achieves its intended outcome(s).	05.1	1.9 i) Top management shall demonstrate leadership and commitment with respect to the SMS by: h) ensuring that the SMS achieves its intended outcome(s);	04-16 Service management plan
COM.08.BP.4	**Determine the sequence and interaction of the process with other processes.** 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.	05.1	1.6 f) Top management shall demonstrate leadership and commitment with respect to the SMS by: e) ensuring the integration of the SMS requirements into the organization's business processes;	04-16 Service management plan
COM.08.BP.4	**Determine the sequence and interaction of the process with other processes.** When planning how to achieve its service management objectives, the organization determines when it will be completed.	06.2.2	1.4 d) When planning how to achieve its service management objectives, the organization shall determine: d) when it will be completed;	03-26 Service management planning objectives

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Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.08.BP.5	**Identify the required competencies and roles for performing the process.** The service management plan includes or contains a reference to authorities and responsibilities for the SMS and the services.	06.3	3.4 d) The service management plan shall include or contain a reference to: d) authorities and responsibilities for the SMS and the services;	04-16 Service management plan
COM.08.BP.6	**Identify the required resources for performing the process.** 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.	05.1	1.7 g) Top management shall demonstrate leadership and commitment with respect to the SMS by: f) ensuring that the resources needed for the SMS and the services are available;	03-14 Management system strategy: Management commitment
COM.08.BP.6	**Identify the required resources for performing the process.** When planning how to achieve its service management objectives, the organization determines what resources will be required.	06.2.2	1.2 b) When planning how to achieve its service management objectives, the organization shall determine: b) what resources will be required;	03-26 Service management planning objectives
COM.08.BP.6	**Identify the required resources for performing the process.** The service management plan includes or contains a reference to human, technical, information and financial resources necessary to operate the SMS and the services.	06.3	3.5 e) The service management plan shall include or contain a reference to: e) human, technical, information and financial resources necessary to operate the SMS and the services;	04-16 Service management plan
COM.08.BP.6	**Identify the required resources for performing the process.** 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.	07.1	1.1 The organization shall determine [and provide] 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.	03-28 Service management resource needs

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Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.08.BP.7	**Determine the methods for monitoring the effectiveness and suitability of the process.** When planning how to achieve its service management objectives, the organization determines how the results will be evaluated.	06.2.2	1.5 e) When planning how to achieve its service management objectives, the organization shall determine: e) how the results will be evaluated.	03-26 Service management planning objectives
COM.08.BP.7	**Determine the methods for monitoring the effectiveness and suitability of the process.** 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.	06.3	3.8 h) The service management plan shall include or contain a reference to: h) how the effectiveness of the SMS and the services will be measured, audited, reported and improved.	04-16 Service management plan
COM.08.BP.7	**Determine the methods for monitoring the effectiveness and suitability of the process.** 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.	10.2	5.2 a) The organization shall manage [approved] improvement activities that include: a) setting one of more targets for improvement in areas such as quality, value, capability, cost, productivity, resource utilization and risk reduction;	04-07 Improvement plan
COM.08.BP.8	**Develop plans for the deployment of the process.** The organization plans how to integrate and implement the actions into its SMS processes.	06.1.3	1.4 The organization shall plan: b) how to: 1) integrate and implement the actions into its SMS processes;	04-14 Risk treatment plan
COM.08.BP.8	**Develop plans for the deployment of the process.** The service management plan includes or contains a reference to a list of services.	06.3	3.1 a) The service management plan shall include or contain a reference to: a) list of services;	04-16 Service management plan
COM.08.BP.8	**Develop plans for the deployment of the process.** The organization creates, implements and maintains a service management plan.	06.3	1. The organization shall create, implement and maintain a service management plan.	04-16 Service management plan

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.08.BP.8	**Develop plans for the deployment of the process.** The service management plan includes or contains a reference to known limitations that can impact the SMS and the services.	06.3	3.2 b) The service management plan shall include or contain a reference to: b) known limitations that can impact the SMS and the services;	04-16 Service management plan
COM.08.BP.8	**Develop plans for the deployment of the process.** The service management plan includes or contains a reference to obligations such as relevant policies, standards, legal, regulatory and contractual requirements , and how these obligations apply to the SMS and the services.	06.3	3.3 c) The service management plan shall include or contain a reference to: c) obligations such as relevant policies, standards, legal, regulatory and contractual requirements , and how these obligations apply to the SMS and the services;	04-16 Service management plan
COM.08.BP.8	**Develop plans for the deployment of the process.** The service management plan includes or contains a reference to technology used to support the SMS.	06.3	3.7 g) The service management plan shall include or contain a reference to: g) technology used to support the SMS;	04-16 Service management plan
COM.08.BP.8	**Develop plans for the deployment of the process.** Planning takes into consideration the service management policy, service management objectives, risks and opportunities, service requirements and requirements specified in ISO/IEC 20000-1.	06.3	2. Planning shall take into consideration the service management policy, service management objectives, risks and opportunities, service requirements and requirements specified in this document.	04-16 Service management plan
COM.08.BP.8	**Develop plans for the deployment of the process.** Other planning activities maintain alignment with the service management plan.	06.3	4. Other planning activities shall maintain alignment with the service management plan.	04-16 Service management plan
COM.08.BP.8	**Develop plans for the deployment of the process.** At planned intervals the organization verifies the accuracy of the configuration information.	08.2.6	8.2 At planned intervals [the organization shall verify the accuracy of the configuration information].	04-03 Audit schedule
COM.08.BP.8	**Develop plans for the deployment of the process.** 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.	06.3	3.6 f) The service management plan shall include or contain a reference to: f) approach to be taken for working with other parties involved in the service lifecycle;	04-16 Service management plan

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Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.08.BP.8	**Develop plans for the deployment of the process.** At planned intervals the organization reviews the performance trends and the outcomes of the services.	08.3.2	6.2 At planned intervals [the organization shall review the performance trends and the outcomes of the services].	04-18 Service provision review schedule
COM.08.BP.8	**Develop plans for the deployment of the process.** At planned intervals, the organization measures satisfaction with the services based on a representative sample of customers.	08.3.2	7.3 At planned intervals, [the organization shall measure satisfaction with the services based on a representative sample of customers.]	04-18 Service provision review schedule
COM.08.BP.8	**Develop plans for the deployment of the process.** 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).	08.3.3	4.3 At planned intervals, [the organization shall monitor, review and report on: a) performance against service level targets; b) actual and periodic changes in workload compared to workload limits in the SLA(s).]	04-20 Services review schedule
COM.08.BP.8	**Develop plans for the deployment of the process.** At planned intervals the organization reviews the contract against current service requirements.	08.3.4.1	8.2 At planned intervals [the organization shall review the contract against current service requirements].	04-21 Supplier performance review schedule
COM.08.BP.8	**Develop plans for the deployment of the process.** At planned intervals the organization monitors the performance of the external supplier.	08.3.4.1	6.2 At planned intervals [the organization shall monitor the performance of the external supplier].	04-21 Supplier performance review schedule
COM.08.BP.8	**Develop plans for the deployment of the process.** At planned intervals, the organization monitors the performance of the internal supplier or the customer acting as a supplier.	08.3.4.2	2.2 At planned intervals, [the organization shall monitor the performance of the internal supplier or the customer acting as a supplier.]	04-21 Supplier performance review schedule
COM.08.BP.8	**Develop plans for the deployment of the process.** At planned intervals, the organization monitors and reports on actual costs against the budget, review the financial forecasts and manage costs.	08.4.1	3.3 At planned intervals, [the organization shall monitor and report on actual costs against the budget, review the financial forecasts and manage costs.]	04-18 Service provision review schedule

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Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.08.BP.8	**Develop plans for the deployment of the process.** At planned intervals, the organization determines current demand and forecast future demand for services;	08.4.2	1.3 a) At planned intervals, the organization shall: a) determine current demand [and forecast future demand for services;]	04-18 Service provision review schedule
COM.08.BP.8	**Develop plans for the deployment of the process.** At planned intervals, the organization determines current demand and] forecast future demand for services.	08.4.2	1.4 a) At planned intervals, the organization shall: a) [determine current demand and] forecast future demand for services;	04-18 Service provision review schedule
COM.08.BP.8	**Develop plans for the deployment of the process.** At planned intervals, the organization monitors and reports on demand and consumption of services.	08.4.2	1.7 b) At planned intervals, the organization shall: b) monitor [and report on] demand and consumption of services.	04-18 Service provision review schedule
COM.08.BP.8	**Develop plans for the deployment of the process.** At planned intervals, the organization monitors and reports on demand and consumption of services.	08.4.2	1.8 b) At planned intervals, the organization shall: b) [monitor and] report on demand and consumption of services.	04-18 Service provision review schedule
COM.08.BP.8	**Develop plans for the deployment of the process.** Proposed deployment dates and other deployment details for approved changes are communicated to interested parties.	08.5.1.3	5.1 Proposed deployment dates and other deployment details for approved changes [shall be communicated to interested parties.]	04-06 Change schedule
COM.08.BP.8	**Develop plans for the deployment of the process.** The activities to reverse or remedy an unsuccessful change are planned and, where possible, tested.	08.5.1.3	6.2 [The activities to reverse or remedy an unsuccessful change shall be] planned [and, where possible, tested.]	04-13 Reversing unsuccessful changes plan
COM.08.BP.8	**Develop plans for the deployment of the process.** At planned intervals, requests for change records shall be analysed to detect trends.	08.5.1.3	10.2 At planned intervals, [request for change records shall be analysed to detect trends.]	04-05 Change request analysis schedule

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Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.08.BP.8	**Develop plans for the deployment of the process.** 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.	08.5.2.1	1.1 a) Planning shall use the service requirements for the new or changed services determined in ISO/IEC 20000-1:2018, 8.2.2 and shall include or contain a reference to: a) authorities and responsibilities for design, build and transition activities;	04-10 New or changed service plan
COM.08.BP.8	**Develop plans for the deployment of the process.** 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.	08.5.2.1	1.2 b) Planning shall use the service requirements for the new or changed services determined in ISO/IEC 20000-1:2018, 8.2.2 and shall include or contain a reference to: b) activities to be performed by the organization or other parties with their timescales;	04-10 New or changed service plan
COM.08.BP.8	**Develop plans for the deployment of the process.** 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.	08.5.2.1	1.3 c) Planning shall use the service requirements for the new or changed services determined in ISO/IEC 20000-1:2018, 8.2.2 and shall include or contain a reference to: c) human, technical, information and financial resources;	04-10 New or changed service plan
COM.08.BP.8	**Develop plans for the deployment of the process.** 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.	08.5.2.1	1.4 d) Planning shall use the service requirements for the new or changed services determined in ISO/IEC 20000-1:2018, 8.2.2 and shall include or contain a reference to: d) dependencies on other services;	04-10 New or changed service plan
COM.08.BP.8	**Develop plans for the deployment of the process.** 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.	08.5.2.1	1.5 e) Planning shall use the service requirements for the new or changed services determined in ISO/IEC 20000-1:2018, 8.2.2 and shall include or contain a reference to: e) testing needed for the new or changed services;	04-10 New or changed service plan

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.08.BP.8	**Develop plans for the deployment of the process.** 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.	08.5.2.1	1.6 f) Planning shall use the service requirements for the new or changed services determined in ISO/IEC 20000-1:2018, 8.2.2 and shall include or contain a reference to: f) service acceptance criteria;	04-10 New or changed service plan
COM.08.BP.8	**Develop plans for the deployment of the process.** 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.	08.5.2.1	1.7 g) Planning shall use the service requirements for the new or changed services determined in ISO/IEC 20000-1:2018, 8.2.2 and shall include or contain a reference to: g) intended outcomes from delivering the new or changed services, expressed in measurable terms;	04-10 New or changed service plan
COM.08.BP.8	**Develop plans for the deployment of the process.** 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.	08.5.2.1	1.8 h) Planning shall use the service requirements for the new or changed services determined in ISO/IEC 20000-1:2018, 8.2.2 and shall include or contain a reference to: h) impact on the SMS, other services, planned changes, customers, users and other interested parties.	04-10 New or changed service plan
COM.08.BP.8	**Develop plans for the deployment of the process.** 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.	08.5.2.1	2. For services that are to be removed, the planning shall additionally include the date(s) for the removal of the activities for archiving, disposal or transfer of data, documented information and service components.	04-09 New and changes services schedule
COM.08.BP.8	**Develop plans for the deployment of the process.** 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.	08.5.2.1	3. For services that are to be transferred, the planning shall additionally include the date(s) for the transfer of the services and the activities for the transfer of data, documented information, knowledge and service components.	04-09 New and changes services schedule

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.08.BP.8	**Develop plans for the deployment of the process.** The organization plans the deployment of new or changed services and service components into the live environment.	08.5.3	2. The organization shall plan the deployment of new or changed services and service components into the live environment.	04-11 Release plan
COM.08.BP.8	**Develop plans for the deployment of the process.** 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.	08.5.3	3. Planning shall be 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.	04-11 Release plan
COM.08.BP.8	**Develop plans for the deployment of the process.** Planning includes the dates for deployment of each release, deliverables and methods of deployment.	08.5.3	4. Planning shall include the dates for deployment of each release, deliverables and methods of deployment.	04-12 Release schedule
COM.08.BP.8	**Develop plans for the deployment of the process.** At planned intervals the effectiveness of problem resolution is monitored, reviewed and reported.	08.6.3	9.2 At planned intervals [the effectiveness of problem resolution shall be monitored, reviewed and reported.]	08-19 Problem resolution effectiveness review record
COM.08.BP.8	**Develop plans for the deployment of the process.** At planned intervals, the risks to service availability are assessed and documented.	08.7.1	1.3 At planned intervals, [the risks to service availability shall be assessed and documented.]	04-17 Service management risk assessment schedule
COM.08.BP.8	**Develop plans for the deployment of the process.** At planned intervals, the risks to service continuity are assessed and documented.	08.7.2	1.3 At planned intervals, [the risks to service continuity shall be assessed and documented.]	04-17 Service management risk assessment schedule
COM.08.BP.8	**Develop plans for the deployment of the process.** At planned intervals, the service continuity plan(s) are tested against the service continuity requirements.	08.7.2	7.2 At planned intervals, [the service continuity plan(s) shall be tested against the service continuity requirements.]	04-15 Service continuity plan
COM.08.BP.8	**Develop plans for the deployment of the process.** At planned intervals, the information security risks to the SMS and the services are assessed and documented.	08.7.3.2	1.3 At planned intervals, [the information security risks to the SMS and the services shall be assessed and documented.]	04-17 Service management risk assessment schedule

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.08.BP.8	**Develop plans for the deployment of the process.** The organization plans actions to address these (information security) risks and opportunities and their priorities.	06.1.3	1.2 The organization shall plan: a) actions to address these risks and opportunities and their priorities;	04-14 Risk treatment plan
COM.08.BP.8	**Develop plans for the deployment of the process.** The organization conducts internal audits at planned intervals to provide information.	09.2.1	1.4 [The organization shall conduct internal audits] at planned intervals [to provide information].	04-03 Audit schedule
COM.08.BP.8	**Develop plans for the deployment of the process.** 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.	09.2.2	1.1 a) 1) The organization shall: a) plan, establish, implement and maintain an audit programme(s), including the frequency, methods, responsibilities, planning requirements and reporting, which shall take into consideration: 1) the importance of the processes concerned;	04-02 Audit programme
COM.08.BP.8	**Develop plans for the deployment of the process.** 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.	09.2.2	1.2 a) 2) The organization shall: a) plan, establish, implement and maintain an audit programme(s), including the frequency, methods, responsibilities, planning requirements and reporting, which shall take into consideration: 2) changes affecting the organization;	04-02 Audit programme
COM.08.BP.8	**Develop plans for the deployment of the process.** 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.	09.2.2	1.3 a) 3) The organization shall: a) plan, establish, implement and maintain an audit programme(s), including the frequency, methods, responsibilities, planning requirements and reporting, which shall take into consideration: 3) the results of previous audits;	04-02 Audit programme
COM.08.BP.8	**Develop plans for the deployment of the process.** Top management reviews the organization's SMS and the services, at planned intervals, to ensure their continuing suitability, adequacy and effectiveness.	09.3	1.2 [Top management shall review the organization's SMS and the services,] at planned intervals, [to ensure their continuing suitability, adequacy and effectiveness.]	04-08 Management review schedule

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.08.BP.8	**Develop plans for the deployment of the process.** The organization plans how to evaluate the effectiveness of these actions.	06.1.3	1.5 The organization shall plan: [b) how to: 2) evaluate the effectiveness of these actions.]	04-14 Risk treatment plan
COM.09 Operational implementation and control				
COM.09.BP.1	**Allocate the required roles, responsibilities and authorities.** 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.	05.1	1.3 c) Top management shall demonstrate leadership and commitment with respect to the SMS by: c) ensuring that appropriate levels of authority are assigned for making decisions related to the SMS and the services;	04-16 Service management plan
COM.09.BP.1	**Allocate the required roles, responsibilities and authorities.** Top management ensures that the responsibilities and authorities for roles relevant to the SMS and the services are assigned and communicated within the organization.	05.3	1. Top management shall ensure that the responsibilities and authorities for roles relevant to the SMS and the services are assigned and communicated within the organization.	03-29 Service management roles and responsibilities
COM.09.BP.1	**Allocate the required roles, responsibilities and authorities.** The organization has one or more designated individuals responsible for managing customer relationships and maintaining customer satisfaction.	08.3.2	3.The organization shall have one or more designated individuals responsible for managing customer relationships and maintaining customer satisfaction.	02-10 Service provider role assignments list
COM.09.BP.1	**Allocate the required roles, responsibilities and authorities.** When planning how to achieve its service management objectives, the organization determines who will be responsible.	06.2.2	1.3 c) When planning how to achieve its service management objectives, the organization shall determine: c) who will be responsible;	03-26 Service management planning objectives
COM.09.BP.1	**Allocate the required roles, responsibilities and authorities.** The organization has one of more designated individuals responsible for managing the relationship, contracts and performance of external suppliers.	08.3.4.1	1. The organization shall have one of more designated individuals responsible for managing the relationship, contracts and performance of external suppliers.	03-29 Service management roles and responsibilities

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.09.BP.1	**Allocate the required roles, responsibilities and authorities.** The organization assigns responsibility for managing each major incident.	08.6.1	6. The organization shall assign responsibility for managing each major incident.	02-10 Service provider role assignments list
COM.09.BP.2	**Allocate and apply the required resources.** 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.	07.1	1.2 The organization shall [determine and] provide 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.	03-27 Service management resource allocation
COM.09.BP.3	**Implement actions required to achieve the management system objectives.** Improvement activities, that are to be managed, are approved by the organization.	10.2	5.1 The organization shall manage approved improvement activities ..	04-07 Improvement plan
COM.09.BP.3	**Implement actions required to achieve the management system objectives.** 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).	06.1.1	1.1 a) When planning for the SMS, the organization shall consider 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: a) give assurance that the SMS can achieve its intended outcome(s);	03-14 Management system strategy: Management commitment
COM.09.BP.3	**Implement actions required to achieve the management system objectives.** The organization operates the SMS ensuring co-ordination of the activities and the resources.	08.2.1	1. The organization shall operate the SMS ensuring co-ordination of the activities and the resources.	03-10 Management system strategy: Delivery
COM.09.BP.3	**Implement actions required to achieve the management system objectives.** Major incidents are classified and managed according to a documented procedure.	08.6.1	4. Major incidents shall be classified and managed according to a documented procedure.	02-05 MS Implementation log

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.09.BP.3	**Implement actions required to achieve the management system objectives.** The organization manages improvement activities that include revising the SMS, if necessary.	10.2	5.5 c) The organization shall manage [approved] improvement activities that include: c) revising the SMS, if necessary;	04-07 Improvement plan
COM.09.BP.4	**Review the suitability and effectiveness of the actions taken to achieve the management system objectives.** The organization reviews changes for effectiveness and takes actions agreed with interested parties.	08.5.1.3	9. The organization shall review changes for effectiveness and take actions agreed with interested parties.	09-04 Change effectiveness evaluation report
COM.09.BP.4	**Review the suitability and effectiveness of the actions taken to achieve the management system objectives.** The success or failure of releases is monitored.	08.5.3	10.1 The success or failure of releases shall be monitored [and analysed.]	08-20 Release review record
COM.09.BP.4	**Review the suitability and effectiveness of the actions taken to achieve the management system objectives.** After the incident has been resolved, the major incident is reported and reviewed.	08.6.1	7.1 After the incident has been resolved, the major incident shall be reported and reviewed [to identify opportunities for improvement.]	08-15 Major incident review record
COM.09.BP.4	**Review the suitability and effectiveness of the actions taken to achieve the management system objectives.** The effectiveness of problem resolution is monitored, and reviewed.	08.6.3	9.1 [At planned intervals] the effectiveness of problem resolution shall be monitored, reviewed [and reported.]	08-19 Problem resolution effectiveness review record
COM.09.BP.4	**Review the suitability and effectiveness of the actions taken to achieve the management system objectives.** The organization monitors and reviews the effectiveness of information security controls and takes necessary actions.	08.7.3.2	4. The organization shall monitor and review the effectiveness of information security controls and take necessary actions.	09-08 Information security controls effectiveness evaluation report

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.09.BP.4	**Review the suitability and effectiveness of the actions taken to achieve the management system objectives.** If the acceptance criteria are not met, the organization and interested parties makes a decision on necessary actions and deployment.	08.5.2.3	2. If the service acceptance criteria are not met, the organization and interested parties shall make a decision on necessary actions and deployment.	08-16 New or changed services acceptance record
COM.09.BP.5	**Correct deviations from planned arrangements when targets are not achieved.** The organization controls planned changes to the SMS and reviews the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary.	08.1	2.2 [The organization shall control planned changes to the SMS and review the consequences of unintended changes,] taking action to mitigate any adverse effects, as necessary (see ISO/IEC 20000-1:2018, 8.5.1).	02-05 MS Implementation log
COM.09.BP.5	**Correct deviations from planned arrangements when targets are not achieved.** Where a service complaint is not resolved through the normal channels, a method of escalation is provided.	08.3.2	10. Where a service complaint is not resolved through the normal channels, a method of escalation shall be provided.	02-11 Service provision complaint resolution log
COM.09.BP.5	**Correct deviations from planned arrangements when targets are not achieved.** Unsuccessful changes are investigated and agreed actions are taken.	08.5.1.3	7. Unsuccessful changes shall be investigated and agreed actions taken.	09-03 Change analysis report
COM.09.BP.5	**Correct deviations from planned arrangements when targets are not achieved.** The organization makes decisions and takes actions based on the findings in service reports.	09.4	4. The organization shall make decisions and take actions based on the findings in service reports.	02-12 Service provision issue log
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.** The management review includes consideration of information on the performance and effectiveness of the SMS, including trends in nonconformities and corrective actions.	09.3	2.4 c) 1) [The management review shall include consideration of: c) information on the performance and effectiveness of the SMS, including trends in:] 1) nonconformities and corrective actions;	03-08 Management review objectives

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
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.** The management review includes consideration of information on the performance and effectiveness of the SMS, including trends in monitoring and measurement results.	09.3	2.6 c) 2) [The management review shall include consideration of: c) information on the performance and effectiveness of the SMS, including trends in:] 2) monitoring and measurement results;	03-08 Management review objectives
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.** The management review includes consideration of information on the performance and effectiveness of the SMS, including trends in audit results.	09.3	2.8 c) 3) [The management review shall include consideration of: c) information on the performance and effectiveness of the SMS, including trends in:] 3) audit results;	03-08 Management review objectives
COM.10 Performance evaluation				
COM.10.BP.1	**Define performance monitoring and measurement needs.** Measurements include incidents related to a release in the period following deployment of a release.	08.5.3	11. Measurements shall include incidents related to a release in the period following deployment of a release.	03-20 Release measurement information needs
COM.10.BP.2	**Identify performance measures, derived from the performance measurement needs.** The organization determines what needs to be monitored and measured for the SMS and the services.	09.1	1.1 a) The organization shall determine: a) what needs to be monitored and measured for the SMS and the services;	03-16 MS Measurement information gathering events
COM.10.BP.3	**Identify performance measurement methods, supportive of the performance measures.** 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.	08.2.3.2	1.2 b) The organization shall define and apply controls for other parties that include: b) measurement and evaluation of the effectiveness of services and service components in the fulfilment of service requirements.	12-17 Supplier management process integration needs

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.10.BP.3	**Identify performance measurement methods, supportive of the performance measures.** The organization determines the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results.	09.1	1.2 b) The organization shall determine: b) the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results;	03-16 MS Measurement information gathering events
COM.10.BP.4	**Collect data using the identified performance measurement methods.** The service management objectives are monitored.	06.2.1	2.4 The service management objectives shall: d) be monitored;	03-25 Service management objectives
COM.10.BP.4	**Collect data using the identified performance measurement methods.** Customer satisfaction with the services is measured, based on a representative sample of customers.	08.3.2	7.2 [At planned intervals, the organization shall measure satisfaction with the services] based on a representative sample of customers.	08-10 Customer satisfaction review record
COM.10.BP.5	**Analyse the collected performance data.** The results are analysed, and reviewed.	08.3.2	8.1 The results shall be analysed, reviewed [to identify opportunities for improvement and reported.]	02-11 Service provision complaint resolution log
COM.10.BP.5	**Analyse the collected performance data.** Request for change records are analysed to detect trends.	08.5.1.3	10.1 [At planned intervals,] request for change records shall be analysed to detect trends.	09-03 Change analysis report
COM.10.BP.5	**Analyse the collected performance data.** The success or failure of releases is analysed.	08.5.3	10.2 The success or failure of releases shall be [monitored and] analysed.	09-16 Release performance analysis report
COM.10.BP.5	**Analyse the collected performance data.** The organization analyses the information security incidents by type, volume and impact on the SMS, services and interested parties.	08.7.3.3	2. The organization shall analyse the information security incidents by type, volume and impact on the SMS, services and interested parties.	09-10 Information security incident analysis report
COM.10.BP.5	**Analyse the collected performance data.** The organization evaluates the SMS performance against the service management objectives and evaluates the effectiveness of the SMS.	09.1	3. The organization shall evaluate the SMS performance against the service management objectives and evaluate the effectiveness of the SMS.	03-16 MS Measurement information gathering events

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
COM.10.BP.5	**Analyse the collected performance data.** The organization evaluates the effectiveness of the services against the service requirements.	09.1	4. The organization shall evaluate the effectiveness of the services against the service requirements.	03-16 MS Measurement information gathering events
COM.11 Risk management				
COM.11.BP.1	**Establish criteria for risk evaluation and acceptance** The organization determines risk acceptance criteria.	06.1.2	1.9 The organization shall determine [and document]: c) risk acceptance criteria; (general)	03-23 Risk assessment criteria
COM.11.BP.2	**Identify risks.** The organization determines risks related to the organization.	06.1.2	1.1 The organization shall determine [and document]: a) risks related to: 1) the organization;	03-08 Management review objectives
COM.11.BP.2	**Identify risks.** The organization determines risks related to not meeting the service requirements.	06.1.2	1.3 The organization shall determine [and document]: a) risks related to: 2) not meeting the service requirements;	03-22 Risk and opportunity identification
COM.11.BP.2	**Identify risks.** The organization determines risks related to the involvement of other parties in the service lifecycle.	06.1.2	1.5 The organization shall determine [and document]: a) risks related to: 3) the involvement of other parties in the service lifecycle;	03-22 Risk and opportunity identification
COM.11.BP.2	**Identify risks.** 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.	08.3.4.1	4.2 The organization shall [assess the alignment of service level targets or other contractual obligations for the external supplier against SLAs with customers, and] manage identified risks.	09-24 Supplier performance evaluation report
COM.11.BP.2	**Identify risks.** The risks to service availability are assessed.	08.7.1	1.1 [At planned intervals,] the risks to service availability shall be assessed [and documented.]	03-22 Risk and opportunity identification
COM.11.BP.2	**Identify risks.** The risks to service continuity are assessed.	08.7.2	1.1 [At planned intervals,] the risks to service continuity shall be assessed [and documented.]	03-22 Risk and opportunity identification
COM.11.BP.2	**Identify risks.** The information security risks to the SMS and the services are assessed.	08.7.3.2	1.1 [At planned intervals,] the information security risks to the SMS and the services shall be assessed [and documented.]	03-22 Risk and opportunity identification
COM.11.BP.4	**Evaluate risks against defined criteria.** The organization determines the impact on customers of risks [and opportunities] for the SMS and the services.	06.1.2	1.7 The organization shall determine [and document]: b) the impact on customers of risks and opportunities for the SMS and the services;	03-23 Risk assessment criteria

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
RAA.1 Business relationship management				
RAA.1.BP.1	**Identify needs and expectations of customers.** The organization determines the relevant requirements of these interested parties.	04.2	1.2 The organization shall determine: b) the relevant requirements of these interested parties.	04-16 Service management plan
RAA.1.BP.1	**Identify needs and expectations of customers.** The customers, users and other interested parties of the services are identified.	08.3.2	1.1 The customers, users and other interested parties of the services shall be identified [and documented].	02-13 Service stakeholder list
RAA.1.BP.2	**Measure customer satisfaction.** The organization measures satisfaction with the services based on a representative sample of customers.	08.3.2	7.1 [At planned intervals,] the organization shall measure satisfaction with the services [based on a representative sample of customers.]	08-10 Customer satisfaction review record
RAA.1.BP.3	**Manage service complaints through their lifecycle to closure.** Service complaints are recorded, managed to closure and reported.	08.3.2	9. Service complaints shall be recorded, managed to closure and reported.	02-11 Service provision complaint resolution log
RAA.1.BP.4	**Review service performance trends and outcomes.** Service performance trends and outcomes are reviewed.	08.3.2	6.1 [At planned intervals] the organization shall review the performance trends and the outcomes of the services.	08-24 Service provision review record
RAA.2 Service level management				
RAA.2.BP.1	**Define service level targets and workload characteristics for services in service level agreements.** The [documented] information for the SMS includes service level agreement(s) (SLA).	08.3.3	2.2 [For each service delivered, the organization shall establish one or more SLAs based on the] documented service requirements.	01-1 Service level agreement
RAA.2.BP.1	**Define service level targets and workload characteristics for services in service level agreements.** For each service delivered, the organization establishes one or more SLAs based on the service requirements.	08.3.3	2.1 For each service delivered, the organization shall establish one or more SLAs based on the [documented] service requirements.	01-1 Service level agreement

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
RAA.2.BP.1	**Define service level targets and workload characteristics for services in service level agreements.** 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.	08.1	1.1 a) The organization shall plan, implement and control the processes needed to fulfil requirements, and to implement the actions determined in 6 by: a) establishing performance criteria for the processes based on requirements;	02-05 MS Implementation log
RAA.2.BP.1	**Define service level targets and workload characteristics for services in service level agreements.** The SLA(s) include service level targets, workload limits and exceptions.	08.3.3	3. The SLA(s) shall include service level targets, workload limits and exceptions.	01-1 Service level agreement
RAA.2.BP.2	**Monitor services against service level agreements.** 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 implementing control of the processes in accordance with the established performance criteria.	08.1	1.2 b) The organization shall plan, implement and control the processes needed to fulfil requirements, and to implement the actions determined in ISO/IEC 20000-1:2018, Clause 6 by: b) implementing control of the processes in accordance with the established performance criteria;	02-05 MS Implementation log
RAA.2.BP.2	**Monitor services against service level agreements.** The organization reviews the performance trends and the outcomes of the services.	08.3.2	6.1 [At planned intervals] the organization shall review the performance trends and the outcomes of the services.	08-24 Service provision review record
RAA.2.BP.2	**Monitor services against service level agreements.** The organization monitors and reviews on performance against service level targets, actual and periodic changes in workload compared to workload limits in the SLA(s).	08.3.3	4.1 [At planned intervals], the organization shall monitor, review [and report] on: a) performance against service level targets; b) actual and periodic changes in workload compared to workload limits in the SLA(s).	08-22 Service level agreement review record
RAA.3 Service reporting				

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Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
RAA.3.BP.1	**Identify the service reporting needs.** The organization determines reporting requirements and their purpose.	09.4	1. The organization shall determine reporting requirements and their purpose.	03-33 Service reporting needs definition
RAA.3.BP.2	**Define service report content in terms of identified service reporting needs and requirements.** Reports on the performance and effectiveness of the SMS and the services are produced using information from the SMS activities and delivery of the services.	09.4	2. Reports on the performance and effectiveness of the SMS and the services shall be produced using information from the SMS activities and delivery of the services.	03-32 Service report content definition
RAA.3.BP.2	**Define service report content in terms of identified service reporting needs and requirements.** Service reporting includes trends.	09.4	3. Service reporting shall include trends.	03-32 Service report content definition
RAA.3.BP.3	**Produce service reports produced according to the service report requirements.** Top management assigns the responsibility and authority for reporting on the performance of the SMS and the services to top management.	05.3	2.2 b) Top management shall assign the responsibility and authority for: b) reporting on the performance of the SMS and the services to top management.	03-29 Service management roles and responsibilities
RAA.3.BP.3	**Produce service reports produced according to the service report requirements.** The organization reports on performance against service level targets, actual and periodic changes in workload compared to workload limits in the SLA(s).	08.3.3	4.2 [At planned intervals], the organization shall [monitor, review and] report on: a) performance against service level targets; b) actual and periodic changes in workload compared to workload limits in the SLA(s).	08-22 Service level agreement review record
RAA.3.BP.3	**Produce service reports produced according to the service report requirements.** The organization reports on actual costs against the budget, review the financial forecasts and manage costs.	08.4.1	3.2 [At planned intervals,] the organization shall [monitor and] report on actual costs against the budget, review the financial forecasts and manage costs.	09-23 Services provision costs against budget variance report
RAA.3.BP.3	**Produce service reports produced according to the service report requirements.** The organization reports on demand and consumption of services.	08.4.2	1.6 b) [At planned intervals,] the organization shall: b) [monitor and] report on demand and consumption of services.	09-06 Demand analysis report

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
RAA.3.BP.3	**Produce service reports produced according to the service report requirements.** The effectiveness of problem resolution is monitored and reported.	08.6.3	9.4 [At planned intervals] The effectiveness of problem resolution shall be monitored, reviewed [and reported].	08-19 Problem resolution effectiveness review record
RAA.3.BP.3	**Produce service reports produced according to the service report requirements.** Information security incidents are reported and reviewed.	08.7.3.3	3.1 Information security incidents shall be reported and reviewed [to identify opportunities for improvement.]	09-22 Service report
RAA.3.BP.3	**Produce service reports produced according to the service report requirements.** The organization manages improvement activities reporting on implemented improvements.	10.2	5.7 e) The organization shall manage [approved] improvement activities that include: e) reporting on implemented improvements.	04-07 Improvement plan
RAA.4 Supplier management				
RAA.4.BP.1	**Identify criteria to select suppliers.** The organization determines and applies criteria for the evaluation and selection of other parties involved in the service lifecycle.	08.2.3.1	2. The organization shall determine and apply criteria for the evaluation and selection of other parties involved in the service lifecycle.	12-16 Service management process interface requirements
RAA.4.BP.2	**Define and negotiate with each supplier services to be provided.** Where applicable, other parties are external suppliers, internal suppliers or customers acting as a supplier.	08.2.3.1	3. Other parties can be an external supplier, an internal supplier or a customer acting as a supplier.	12-01 Alternative party process requirements
RAA.4.BP.2	**Define and negotiate with each supplier services to be provided.** Other parties do not provide or operate all services, service components or processes within the scope of the SMS.	08.2.3.1	4. Other parties shall not provide or operate all services, service components or processes within the scope of the SMS.	12-01 Alternative party process requirements
RAA.4.BP.2	**Define and negotiate with each supplier services to be provided.** The organization determines services that are provided or operated by other parties.	08.2.3.1	5.1 The organization shall determine [and document]: a) services that are provided or operated by other parties;	12-17 Supplier management process integration needs

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
RAA.4.BP.2	**Define and negotiate with each supplier services to be provided.** The organization determines service components that are provided or operated by other parties.	08.2.3.1	5.3 The organization shall determine [and document]: b) service components that are provided or operated by other parties;	12-17 Supplier management process integration needs
RAA.4.BP.2	**Define and negotiate with each supplier services to be provided.** The organization determines processes, or parts of processes, in the organization's SMS that are operated by other parties.	08.2.3.1	5.5 The organization shall determine [and document]: c) processes, or parts of processes, in the organization's SMS that are operated by other parties.	12-17 Supplier management process integration needs
RAA.4.BP.2	**Define and negotiate with each supplier services to be provided.** For each external supplier, the organisation agrees a contract.	08.3.4.1	2.1 For each external supplier, the organisation shall agree a [documented] contract.	01-2 Supplier agreement
RAA.4.BP.2	**Define and negotiate with each supplier services to be provided.** The contract includes or contains a reference to scope of the services, service components, processes or parts of processes to be provided or operated by the external supplier.	08.3.4.1	3.1 a) The contract shall include or contain a reference to: a) scope of the services, service components, processes or parts of processes to be provided or operated by the external supplier;	01-2 Supplier agreement
RAA.4.BP.2	**Define and negotiate with each supplier services to be provided.** The contract includes or contains a reference to requirements to be met by the external supplier.	08.3.4.1	3.2 b) The contract shall include or contain a reference to: b) requirements to be met by the external supplier;	01-2 Supplier agreement
RAA.4.BP.2	**Define and negotiate with each supplier services to be provided.** The contract includes or contains a reference to service level targets or other contractual obligations.	08.3.4.1	3.3 c) The contract shall include or contain a reference to: c) service level targets or other contractual obligations;	01-2 Supplier agreement
RAA.4.BP.2	**Define and negotiate with each supplier services to be provided.** The organization reviews the contract against current service requirements.	08.3.4.1	8.1 [At planned intervals] the organization shall review the contract against current service requirements.	08-28 Supplier performance review record

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
RAA.4.BP.2	**Define and negotiate with each supplier services to be provided.** For each internal supplier or customer acting as a supplier, the organization develops, agrees and maintains an agreement to define the service level targets, other commitments, activities and interfaces between, the parties.	08.3.4.2	1.1 For each internal supplier or customer acting as a supplier, the organization shall develop, agree and maintain a [documented] agreement to define the service level targets, other commitments, activities and interfaces between, the parties.	01-2 Supplier agreement
RAA.4.BP.3	**Determine roles and relationships between suppliers.** The contract includes or contains a reference to authorities and responsibilities of the organization and the external supplier.	08.3.4.1	3.4 d) The contract shall include or contain a reference to: d) authorities and responsibilities of the organization and the external supplier.	01-2 Supplier agreement
RAA.4.BP.3	**Determine roles and relationships between suppliers.** The organization defines and manages the interfaces with the external supplier.	08.3.4.1	5. The organization shall define and manage the interfaces with the external supplier.	01-2 Supplier agreement
RAA.4.BP.4	**Monitor supplier obligations to meet requirements.** The organization ensures that outsourced processes are controlled (see ISO/IEC 20000-1:2018, 8.2.3).	08.1	3. The organization shall ensure that outsourced processes are controlled (see ISO/IEC 20000-1:2018, 8.2.3).	12-17 Supplier management process integration needs
RAA.4.BP.4	**Monitor supplier obligations to meet requirements.** Disputes between the organization and the external supplier are managed to closure.	08.3.4.1	10.1 Disputes between the organization and the external supplier shall [be recorded and] managed to closure.	06-7 Supplier agreement dispute procedure
RAA.4.BP.5	**Monitor supplier performance against agreed criteria.** The organization retains accountability for the requirements specified in ISO/IEC 20000-1 and the delivery of the services regardless of which party is involved in performing activities to support the service lifecycle.	08.2.3.1	1. The organization shall retain accountability for the requirements specified in this document and the delivery of the services regardless of which party is involved in performing activities to support the service lifecycle.	12-16 Service management process interface requirements

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
RAA.4.BP.5	**Monitor supplier performance against agreed criteria.** The organization defines and applies controls for other parties that include measurement and evaluation of process performance.	08.2.3.2	1.1 a) The organization shall define and apply controls for other parties that include: a) measurement and evaluation of process performance;	12-16 Service management process interface requirements
RAA.4.BP.5	**Monitor supplier performance against agreed criteria.** The organization assesses the alignment of service level targets or other contractual obligations for the external supplier against SLAs with customers.	08.3.4.1	4.1 The organization shall assess the alignment of service level targets or other contractual obligations for the external supplier against SLAs with customers, [and manage identified risks].	09-24 Supplier performance evaluation report
RAA.4.BP.5	**Monitor supplier performance against agreed criteria.** The organization monitors the performance of the external supplier.	08.3.4.1	6.1 [At planned intervals] the organization shall monitor the performance of the external supplier.	08-28 Supplier performance review record
RAA.4.BP.5	**Monitor supplier performance against agreed criteria.** The organization monitors the performance of the internal supplier or the customer acting as a supplier.	08.3.4.2	2.1 [At planned intervals,] the organization shall monitor the performance of the internal supplier or the customer acting as a supplier.	08-28 Supplier performance review record
RAA.5 Service catalogue management				
RAA.5.BP.1	**Define service catalogue content.** The service catalogue(s) include information for the organization, customers, users and other interested parties to describe the services, the intended outcomes and dependencies between the services.	08.2.4	2. The service catalogue(s) shall include information for the organization, customers, users and other interested parties to describe the services, the intended outcomes and dependencies between the services.	03-24 Service catalogue
RAA.5.BP.2	**Develop service catalogue content.** The organization creates one or more service catalogues.	08.2.4	1.1 The organization shall create [and maintain] one or more service catalogues.	03-24 Service catalogue
RAF.1 Incident management				
RAF.1.BP.1	**Identify major incident criteria.** Criteria are identified for major incidents.	08.6.1	3. The organization shall determine criteria to identify a major incident.	03-06 Major incident definition
RAF.1.BP.2	**Record and classify incidents.** Incidents are recorded and classified.	08.6.1	1.1 Incidents shall be: a) recorded and classified;	06-2 Incident management procedure

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
RAF.1.BP.3	**Prioritize incidents.** Incidents are prioritized taking into consideration impact and urgency.	08.6.1	1.2 Incidents shall be: b) prioritized taking into consideration impact and urgency;	06-2 Incident management procedure
RAF.1.BP.4	**Escalate incidents, where needed.** Incidents are escalated, if needed.	08.6.1	1.3 Incidents shall be: c) escalated if needed;	06-2 Incident management procedure
RAF.1.BP.4	**Escalate incidents, where needed.** Incidents are escalated, if needed.	08.6.1	1.3 Incidents shall be: c) escalated if needed;	06-2 Incident management procedure
RAF.1.BP.4	**Escalate incidents, where needed.** Incidents are escalated, if needed.	08.6.1	1.3 Incidents shall be: c) escalated if needed;	06-2 Incident management procedure
RAF.1.BP.4	**Escalate incidents, where needed.** Incidents are escalated, if needed.	08.6.1	1.3 Incidents shall be: c) escalated if needed;	06-2 Incident management procedure
RAF.1.BP.4	**Escalate incidents, where needed.** Incidents are escalated, if needed.	08.6.1	1.3 Incidents shall be: c) escalated if needed;	06-2 Incident management procedure
RAF.1.BP.4	**Escalate incidents, where needed.** Incidents are escalated, if needed.	08.6.1	1.3 Incidents shall be: c) escalated if needed;	06-2 Incident management procedure
RAF.1.BP.5	**Close incidents.** Incidents are closed.	08.6.1	1.5 Incidents shall be: e) closed.	06-2 Incident management procedure
RAF.1.BP.6	**Resolve incidents.** Incidents are resolved.	08.6.1	1.4 Incidents shall be: d) resolved;	06-2 Incident management procedure
RAF.2 Service request management				
RAF.2.BP.1	**Record and classify service requests.** Service requests are recorded and classified.	08.6.2	1.1 Service requests shall be: a) recorded and classified;	06-6 Service request procedure
RAF.2.BP.2	**Prioritize service requests.** Service requests are prioritized.	08.6.2	1.2 Service requests shall be: b) prioritized;	06-6 Service request procedure
RAF.2.BP.3	**Fulfil service requests.** Service requests are fulfilled.	08.6.2	1.3 Service requests shall be: c) fulfilled;	06-6 Service request procedure
RAF.2.BP.4	**Close service request.** Service requests are closed.	08.6.2	1.4 Service requests shall be: d) closed.	06-6 Service request procedure
RAF.3 Problem management				
RAF.3.BP.1	**Record known errors.** Known errors are recorded.	08.6.3	7.1 Known errors [shall be recorded.]	02-06 Problem management known error log

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
RAF.3.BP.2	**Identify and classify problems.** The organization analyses data and trends on incidents to identify problems.	08.6.3	1. The organization shall analyse data and trends on incidents to identify problems.	06-4 Problem management procedure
RAF.3.BP.2	**Identify and classify problems.** Problems are recorded and classified.	08.6.3	3.1 Problems shall be: a) recorded and classified;	06-4 Problem management procedure
RAF.3.BP.3	**Prioritize problems.** Problems are prioritized.	08.6.3	3.2 Problems shall be: b) prioritized;	06-4 Problem management procedure
RAF.3.BP.4	**Escalate problems, if needed.** Problems are escalated if needed.	08.6.3	3.3 Problems shall be: c) escalated if needed;	06-4 Problem management procedure
RAF.3.BP.5	**Resolve problems, if possible.** Problems are resolved if possible.	08.6.3	6. Where the root cause has been identified, but the problem has not been permanently resolved, the organization shall determine actions to reduce or eliminate the impact of the problem on the services.	09-13 Problem mitigation report
RAF.3.BP.6	**Where possible, the impact of problems is minimised.** The organization undertakes root cause analysis and determines potential actions to prevent the occurrence or recurrence of incidents.	08.6.3	2. The organization shall undertake root cause analysis and determine potential actions to prevent the occurrence or recurrence of incidents.	06-4 Problem management procedure
RAF.3.BP.6	**Where possible, the impact of problems is minimised.** Where the root cause has been identified, but the problem has not been permanently resolved, the organization determines actions to reduce or eliminate the impact of the problem on the services.	08.6.3	3.4 Problems shall be: d) resolved if possible;	09-12 Problem analysis report
RAF.3.BP.7	**Close problems.** Problems are closed.	08.6.3	3.5 Problems shall be: e) closed.	06-4 Problem management procedure
SAD.1 Budgeting and accounting for services				
SAD.1.BP.1	**Produce budgets using cost estimates.** Costs are budgeted to enable effective financial control and decision-making for services.	08.4.1	2. Costs shall be budgeted to enable effective financial control and decision-making for services.	04-19 Services provision budget

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
SAD.1.BP.2	**Monitor costs against budget.** The organization budgets and accounts for services or groups of services in accordance with its financial management policies and processes.	08.4.1	1. The organization shall budget and account for services or groups of services in accordance with its financial management policies and processes.	05-1 Budgeting & accounting interface to Financial Management description
SAD.1.BP.2	**Monitor costs against budget.** The organization monitors actual costs against the budget, review the financial forecasts and manage costs.	08.4.1	3.1 [At planned intervals,] the organization shall monitor [and report] on actual costs against the budget, review the financial forecasts and manage costs.	09-23 Services provision costs against budget variance report
SAD.2 Demand management				
SAD.2.BP.1	**Identify current demand and consumption of services.** The organization determines current demand for services.	08.4.2	1.1 a) [At planned intervals,] the organization shall: a) determine current demand [and forecast future demand for services;]	12-04 Demand requirements
SAD.2.BP.2	**Forecast future demand for services.** The organization forecasts future demand for services.	08.4.2	1.2 a) [At planned intervals,] the organization shall: a) [determine current demand and] forecast future demand for services;	12-04 Demand requirements
SAD.2.BP.3	**Monitor demand and consumption of services.** The organization monitors demand and consumption of services.	08.4.2	1.5 b) [At planned intervals,] the organization shall: b) monitor [and report on] demand and consumption of services.	09-06 Demand analysis report
SAD.3 Capacity management				
SAD.3.BP.1	**Determine capacity requirements for human, technical, information and financial resources.** The capacity requirements for human, technical, information and financial resources are determined taking into consideration the service and performance requirements.	08.4.3	1.1 The capacity requirements for human, technical, information and financial resources shall be determined, [documented and maintained] taking into consideration the service and performance requirements.	12-03 Capacity requirements
SAD.3.BP.2	**Plan future capacity.** The organization plans capacity to include current and forecast capacity based on demand for services.	08.4.3	2.1 a) The organization shall plan capacity to include: a) current and forecast capacity based on demand for services;	04-04 Capacity plan

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
SAD.3.BP.2	**Plan future capacity.** The organization plans capacity to include expected impact on capacity of agreed service level targets, requirements for service availability and service continuity.	08.4.3	2.2 b) The organization shall plan capacity to include: b) expected impact on capacity of agreed service level targets, requirements for service availability and service continuity;	04-04 Capacity plan
SAD.3.BP.2	**Plan future capacity.** The organization plans capacity to include timescales and thresholds for changes to service capacity.	08.4.3	2.3 c) The organization shall plan capacity to include: c) timescales and thresholds for changes to service capacity.	04-04 Capacity plan
SAD.3.BP.3	**Provide sufficient capacity to meet future capacity and performance requirements.** The organization provides sufficient capacity to meet agreed capacity and performance requirements.	08.4.3	3. The organization shall provide sufficient capacity to meet agreed capacity and performance requirements.	09-01 Capacity future needs assessment report
SAD.3.BP.4	**Monitor and analyse capacity usage.** The organization monitors capacity usage, analyse capacity and performance data.	08.4.3	4.1 The organization shall monitor capacity usage, analyse capacity and performance data [and identify opportunities to improve performance.]	09-02 Capacity usage analysis report
SAS.1 Service availability management				
SAS.1.BP.1	**Identify service availability requirements and targets.** The organization determines the service availability requirements and targets.	08.7.1	2. The organization shall determine the service availability requirements and targets.	12-12 Service availability requirements
SAS.1.BP.1	**Identify service availability requirements and targets.** The agreed requirements take into consideration relevant business requirements, service requirements, SLAs and risks.	08.7.1	3. The agreed requirements shall take into consideration relevant business requirements, service requirements, SLAs and risks.	12-12 Service availability requirements
SAS.1.BP.2	**Monitor service availability.** Service availability is monitored and compared with the targets, and results recorded.	08.7.1	5.1 Service availability shall be monitored, [the results recorded] and compared with the targets.	02-09 Service availability log
SAS.1.BP.3	**Identify and analyse causes of unplanned service non-availability.** Causes of unplanned non-availability are identified, analysed and necessary actions taken.	08.7.1	6. Unplanned non availability shall be investigated and necessary actions taken.	02-08 Service availability action log
SAS.2 Service continuity management				

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
SAS.2.BP.1	**Identify service continuity requirements.** The organization determines the service continuity requirements.	08.7.2	2. The organization shall determine the service continuity requirements.	12-14 Service continuity requirements
SAS.2.BP.1	**Identify service continuity requirements.** The agreed requirements take into consideration relevant business requirements, service requirements, SLAs and risks.	08.7.2	3. The agreed requirements shall take into consideration relevant business requirements, service requirements, SLAs and risks.	12-14 Service continuity requirements
SAS.2.BP.2	**Plan service continuity to meet the service continuity requirements.** The organization creates, implements and maintains one or more service continuity plans.	08.7.2	4. The organization shall create, implement and maintain one or more service continuity plans.	04-15 Service continuity plan
SAS.2.BP.2	**Plan service continuity to meet the service continuity requirements.** The service continuity plan(s) include or contain a reference to criteria and responsibilities for invoking service continuity.	08.7.2	5.1 a) The service continuity plan(s) shall include or contain a reference to: a) criteria and responsibilities for invoking service continuity;	04-15 Service continuity plan
SAS.2.BP.2	**Plan service continuity to meet the service continuity requirements.** The service continuity plan(s) include or contain a reference to procedures to be implemented in the event of a major loss of service.	08.7.2	5.2 b) The service continuity plan(s) shall include or contain a reference to: b) procedures to be implemented in the event of a major loss of service;	04-15 Service continuity plan
SAS.2.BP.2	**Plan service continuity to meet the service continuity requirements.** The service continuity plan(s) include or contain a reference to targets for service availability when the service continuity plan is invoked.	08.7.2	5.3 c) The service continuity plan(s) shall include or contain a reference to: c) targets for service availability when the service continuity plan is invoked;	04-15 Service continuity plan
SAS.2.BP.2	**Plan service continuity to meet the service continuity requirements.** The service continuity plan(s) include or contain a reference to service recovery requirements.	08.7.2	5.4 d) The service continuity plan(s) shall include or contain a reference to: d) service recovery requirements;	04-15 Service continuity plan

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
SAS.2.BP.2	**Plan service continuity to meet the service continuity requirements.** The service continuity plan(s) include or contain a reference to procedures for returning to normal working conditions.	08.7.2	5.5 e) The service continuity plan(s) shall include or contain a reference to: e) procedures for returning to normal working conditions.	04-15 Service continuity plan
SAS.2.BP.3	**Test service continuity plans against service continuity requirements.** he service continuity plan(s) are tested against the service continuity requirements.	08.7.2	7.1 [At planned intervals,] the service continuity plan(s) shall be tested against the service continuity requirements.	09-21 Service continuity plan test report
SAS.2.BP.4	**Evaluate service continuity against the service continuity requirements.** The service continuity plans are re-tested after major changes to the service environment.	08.7.2	8. The service continuity plan shall be re-tested after major changes to the service environment.	09-21 Service continuity plan test report
SAS.2.BP.4	**Evaluate service continuity against the service continuity requirements.** Reviews are conducted after each test and after the service continuity plan(s) has been invoked.	08.7.2	10. Reviews shall be conducted after each test and after the service continuity plan(s) has been invoked.	08-21 Service continuity plan test result review record
SAS.2.BP.4	**Evaluate service continuity against the service continuity requirements.** The organization reports on the cause, impact and recovery when the service continuity plan(s) has been invoked.	08.7.2	12. The organization shall report on the cause, impact and recovery when the service continuity plan(s) has been invoked.	09-21 Service continuity plan test report
SAS.2.BP.5	**Address any identified deficiencies in the service continuity planning.** Any identified deficiencies in the service continuity planning are addressed.	08.7.2	11. Where deficiencies are found, the organization shall take necessary actions.	09-21 Service continuity plan test report
SAS.3 Information security management				
SAS.3.BP.1	**Identify information security requirements.** The information security policy takes into consideration the service requirements and the obligations in ISO/IEC 20000-1:2018, 6.2.	08.7.3.1	2.1 The information security policy shall [be documented and] take into consideration the service requirements and the obligations in ISO/IEC 20000-1:2018, 6.2.	05-7 Information security policy

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Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
SAS.3.BP.2	**Identify criteria for the assessment of information security risks and the acceptable level of risk.** The organization determines risk acceptance criteria.	06.1.2	1.10 The organization shall determine [and document]: c) risk acceptance criteria; (information security)	03-23 Risk assessment criteria
SAS.3.BP.3	**Define information security controls.** The organization implements information security controls to address information security controls related to external organizations.	08.7.3.2	3.1 The organization [shall agree and implement] information security controls to address information security risks related to external organizations.	09-09 Information security controls objectives
SAS.3.BP.4	**Implement information security controls.** The organization implements information security controls to address information security risks related to external organizations.	08.7.3.2	3.3 The organization shall [agree and] implement information security controls to address information security risks related to external organizations.	03-04 Information security controls report
SAS.3.BP.5	**Identify, resolve and close information security incidents.** Information security incidents are recorded and classified.	08.7.3.3	1.1 a) Information security incidents shall be: a) recorded and classified;	06-3 Information security incident management procedure
SAS.3.BP.5	**Identify, resolve and close information security incidents.** Information security incidents are prioritized taking into consideration the information security risk.	08.7.3.3	1.2 b) Information security incidents shall be: b) prioritized taking into consideration the information security risk;	06-3 Information security incident management procedure
SAS.3.BP.5	**Identify, resolve and close information security incidents.** Information security incidents are escalated if needed.	08.7.3.3	1.3 c) Information security incidents shall be: c) escalated if needed;	06-3 Information security incident management procedure
SAS.3.BP.5	**Identify, resolve and close information security incidents.** Information security incidents are resolved.	08.7.3.3	1.4 d) Information security incidents shall be: d) resolved;	06-3 Information security incident management procedure
SAS.3.BP.5	**Identify, resolve and close information security incidents.** Information security incidents are closed.	08.7.3.3	1.5 e) Information security incidents shall be: e) closed.	06-3 Information security incident management procedure
SAS.3.BP.6	**Identified information security risks are addressed by Information security controls.** 1. Identified information security risks.	08.7.3.2	2.2 [Information security controls shall be determined, implemented and operated to support the information security policy] and address identified information security risks.	03-04 Information security controls report

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Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
SAS.3.BP.7	**Monitor, review and revise the effectiveness of controls.** 1. The effectiveness of controls is monitored, reviewed and revised.	08.7.3.2	4. The organization shall monitor and review the effectiveness of information security controls and take necessary actions.	09-08 Information security controls effectiveness evaluation report
SDB.1 Service requirements definition				
SDB.1.BP.1	**The requirements for services are identified.** The service requirements for existing services, new services and changes to services are documented.	08.2.2	1.2 The service requirements for existing services, new services and changes to services shall be [determined and] documented.	12-06 New or changed service requirements
SDB.1.BP.2	**Identify the criticality, dependencies and duplication of services.** The organization determines the criticality of services based on the needs of the organization, customers, users and other interested parties.	08.2.2	2. The organization shall determine the criticality of services based on the needs of the organization, customers, users and other interested parties.	12-06 New or changed service requirements
SDB.1.BP.2	**Identify the criticality, dependencies and duplication of services.** The organization determines and manages dependencies and duplication between services.	08.2.2	3. The organization shall determine and manage dependencies and duplication between services.	12-06 New or changed service requirements
SDB.1.BP.2	**Identify the criticality, dependencies and duplication of services.** The organization proposes changes where needed to align the services with the service management policy, service management objectives and service requirements, taking into consideration known limitations and risks.	08.2.2	4. The organization shall propose changes where needed to align the services with the service management policy, service management objectives and service requirements, taking into consideration known limitations and risks.	12-06 New or changed service requirements
SDB.1.BP.3	**Service requirements are continually aligned with business needs.** The organization prioritizes requests for change and proposals for new or changed services to align with business needs and service management objectives, taking into consideration available resources.	08.2.2	5. The organization shall prioritize requests for change and proposals for new or changed services to align with business needs and service management objectives, taking into consideration available resources.	12-06 New or changed service requirements
SDB.2 Service design				

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
SDB.2.BP.1	**Design new or changed services to fulfil business needs and customer requirements;** The new or changed services are designed to meet the service requirements determined in ISO/IEC 20000-1:2018, 8.2.2.	08.5.2.2	1.1 The new or changed services shall be designed [and documented] to meet the service requirements determined in ISO/IEC 20000-1:2018, 8.2.2.	03-17 New or changed service design
SDB.2.BP.2	**Prepare a design specification that defines the attributes of the new or changed service;** The design includes, where relevant, authorities and responsibilities of the parties involved in the delivery of the new or changed services.	08.5.2.2	2.1 a) The design shall include relevant items from the following: a) authorities and responsibilities of the parties involved in the delivery of the new or changed services;	12-07 New or changed service specification
SDB.2.BP.2	**Prepare a design specification that defines the attributes of the new or changed service;** The design includes, where relevant, requirements for changes to human, technical, information and financial resources.	08.5.2.2	2.2 b) The design shall include relevant items from the following: b) requirements for changes to human, technical, information and financial resources;	12-07 New or changed service specification
SDB.2.BP.2	**Prepare a design specification that defines the attributes of the new or changed service;** The design includes, where relevant, requirements for appropriate education, training and experience.	08.5.2.2	2.3 c) The design shall include relevant items from the following: c) requirements for appropriate education, training and experience;	12-07 New or changed service specification
SDB.2.BP.2	**Prepare a design specification that defines the attributes of the new or changed service;** The design includes, where relevant, new or changed SLAs, contracts and other documented agreements that support the services.	08.5.2.2	2.4 d) The design shall include relevant items from the following: d) new or changed SLAs, contracts and other documented agreements that support the services;	12-07 New or changed service specification
SDB.2.BP.2	**Prepare a design specification that defines the attributes of the new or changed service;** The design includes, where relevant, changes to the SMS including new or changed policies, plans, processes, procedures, measures and knowledge.	08.5.2.2	2.5 e) The design shall include relevant items from the following: e) changes to the SMS including new or changed policies, plans, processes, procedures, measures and knowledge;	12-07 New or changed service specification

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
SDB.2.BP.2	**Prepare a design specification that defines the attributes of the new or changed service;** The design includes, where relevant items, impact on other services.	08.5.2.2	2.6 f) The design shall include relevant items from the following: f) impact on other services;	12-07 New or changed service specification
SDB.2.BP.2	**Prepare a design specification that defines the attributes of the new or changed service;** The design includes, where relevant, updates to the service catalogue(s).	08.5.2.2	2.7 g) The design shall include relevant items from the following: g) updates to the service catalogue(s).	12-07 New or changed service specification
SDB.3 Service build and transition				
SDB.3.BP.1	**Build new or changes services according to the design specification.** The new or changed services are built.	08.5.2.3	1.1 The new or changed services shall be built [and tested to verify that they meet the service requirements, conform to the documented design and meet the agreed service acceptance criteria.	09-11 New or changed services test report
SDB.3.BP.2	**Test new or changed services against the service specification.** The new or changed services are tested to verify that they meet the service requirements, conform to the documented design and meet the agreed service acceptance criteria.	08.5.2.3	1.2 The new or changed services shall be [built and] tested to verify that they meet the service requirements, conform to the documented design and meet the agreed service acceptance criteria.]	09-11 New or changed services test report
SDB.3.BP.3	**Accept new or changed services in accordance with the service acceptance criteria.** If the service acceptance criteria are not met, the organization and interested parties makes a decision on necessary actions and deployment.	08.5.2.3	2. If the service acceptance criteria are not met, the organization and interested parties shall make a decision on necessary actions and deployment.	08-16 New or changed services acceptance record
SDB.4 Release and deployment management				
SDB.4.BP.1	**Define types of releases and their management** The organization defines the types of releases, including emergency releases, their frequency and how they are to be managed.	08.5.3	1. The organization shall define the types of releases, including emergency releases, their frequency and how they are to be managed.	05-8 Release policy
SDB.4.BP.2	**Determine release acceptance criteria.** Determine the acceptance criteria.	08.5.3	5. [The release shall be verified against the] documented acceptance criteria [and approved before deployment.]	03-19 Release acceptance test criteria

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
SDB.4.BP.3	**Test releases in accordance with defined criteria.** The release is verified against the acceptance criteria and approved before deployment.	08.5.3	6. The release shall be verified against the [documented] acceptance criteria and approved before deployment.	09-15 Release acceptance test report
SDB.4.BP.4	**Deploy approved releases.** The approved release is deployed into the live environment.	08.5.3	9. The release shall be deployed into the live environment so that the integrity of the services and service components is maintained.	02-07 Release log
SDB.4.BP.4	**Deploy approved releases.** If acceptance criteria are not met, a decision on actions is taken.	08.5.3	7. If the acceptance criteria are not met, the organization and interested parties shall make a decision on necessary actions and deployment.	09-14 Release acceptance review record
SDE.1 Service delivery				
SDE.1.BP.1	**Identify customers for services.** The customers, users and other interested parties of the services are identified.	08.3.2	1.1 The customers, users and other interested parties of the services shall be identified [and documented].	02-13 Service stakeholder list
SDE.1.BP.1	**Identify customers for services.** The customers, users and other interested parties of the services are identified.	08.3.2	1.1 The customers, users and other interested parties of the services shall be identified [and documented].	02-13 Service stakeholder list
SDE.1.BP.2	**Produce a response to a customer's request.** The service requirements for existing services, new services and changes to services are determined.	08.2.2	1.1 The service requirements for existing services, new services and changes to services shall be determined [and documented].	12-06 New or changed service requirements
SDE.1.BP.2	**Produce a response to a customer's request.** The organization determines the criticality of services based on the needs of the organization, customers, users and other interested parties.	08.2.2	2. The organization shall determine the criticality of services based on the needs of the organization, customers, users and other interested parties.	12-06 New or changed service requirements
SDE.1.BP.2	**Produce a response to a customer's request.** The organization proposes changes where needed to align the services with the service management policy, service management objectives and service requirements, taking into consideration known limitations and risks.	08.2.2	4. The organization shall propose changes where needed to align the services with the service management policy, service management objectives and service requirements, taking into consideration known limitations and risks.	12-06 New or changed service requirements

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
SDE.1.BP.2	**Produce a response to a customer's request.** Requests for change, including proposals to add, remove or transfer services, are recorded and classified.	08.5.1.2	1. Requests for change, including proposals to add, remove or transfer services, shall be recorded and classified.	08-04 Change request record
SDE.1.BP.2	**Produce a response to a customer's request.** Requests for change, including proposals to add, remove or transfer services, are recorded and classified.	08.5.1.2	1. Requests for change, including proposals to add, remove or transfer services, shall be recorded and classified.	08-04 Change request record
SDE.1.BP.3	**Establish an agreement between the customer and supplier.** The organization and the customer agree on the services to be delivered.	08.3.3	1. The organization and the customer shall agree the services to be delivered.	08-26 Services approval record
SDE.1.BP.4	**Provide a service.** The organisation performs the activities required to deliver services.	08.2.1	2. The organisation shall perform the activities required to deliver services.	03-10 Management system strategy: Delivery
SDE.1.BP.5	**Satisfy the defined supplier obligations.** The organization monitors and reviews performance against service level targets actual and periodic changes in workload compared to workload limits in the SLA(s).	08.3.3	4.1 [At planned intervals], the organization shall monitor, review [and report] on: a) performance against service level targets; b) actual and periodic changes in workload compared to workload limits in the SLA(s).	08-22 Service level agreement review record
SDE.1.BP.5	**Satisfy the defined supplier obligations.** The organization monitors and reviews performance against service level targets actual and periodic changes in workload compared to workload limits in the SLA(s).	08.3.3	4.1 [At planned intervals], the organization shall monitor, review [and report] on: a) performance against service level targets; b) actual and periodic changes in workload compared to workload limits in the SLA(s).	03-34 Services improvement opportunity
SDE.1.BP.5	**Satisfy the defined supplier obligations.** The organization reports on performance against service level targets in terms of actual and periodic changes in workload compared to workload limits in the SLA(s).	08.3.3	4.2 [At planned intervals], the organization shall [monitor, review and] report on: a) performance against service level targets; b) actual and periodic changes in workload compared to workload limits in the SLA(s).	08-22 Service level agreement review record

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Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
SDE.1.BP.5	**Satisfy the defined supplier obligations.** The organization reports on performance against service level targets in terms of actual and periodic changes in workload compared to workload limits in the SLA(s).	08.3.3	4.2 [At planned intervals], the organization shall [monitor, review and] report on: a) performance against service level targets; b) actual and periodic changes in workload compared to workload limits in the SLA(s).	08-22 Service level agreement review record
SDE.1.BP.5	**Satisfy the defined supplier obligations.** Where service level targets are not met, the organization identifies opportunities for improvement.	08.3.3	5. Where service level targets are not met, the organization shall identify opportunities for improvement.	03-34 Services improvement opportunity
SPC.1 Change management				
SPC.1.BP.1	**Record and classify change requests.** Requests for change, including proposals to add, remove or transfer services, are recorded and classified.	08.5.1.2	1. Requests for change, including proposals to add, remove or transfer services, shall be recorded and classified.	08-04 Change request record
SPC.1.BP.2	**Analyse change requests.** The organization controls planned changes to the SMS and reviews the consequences of unintended changes.	08.1	2.1 The organization shall control planned changes to the SMS and review the consequences of unintended changes, [taking action to mitigate any adverse effects, as necessary (see ISO/IEC 20000-1:2018, 8.5.1).]	02-05 MS Implementation log
SPC.1.BP.2	**Analyse change requests.** Changes identified for the contract are assessed for the impact of the change on the SMS and the services before the change is approved.	08.3.4.1	9. Changes identified for the contract shall be assessed for the impact of the change on the SMS and the services before the change is approved.	11-2 Supplier agreement change request
SPC.1.BP.3	**Define criteria for evaluating changes.** Criteria for evaluating changes are defined.	08.5.1.1	1.5 c) A change management policy shall be established [and documented] that defines: c) criteria to determine changes with the potential to have a major impact on customers or services.	05-2 Change Management policy
SPC.1.BP.4	**Evaluate changes using defined criteria.** The organization and interested parties make decisions on the approval and priority of requests for change.	08.5.1.3	1. The organization and interested parties shall make decisions on the approval and priority of requests for change.	08-03 Change request approval record

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
SPC.1.BP.4	**Evaluate changes using defined criteria.** Decision-making takes into consideration the risks, business benefits, feasibility and financial impact.	08.5.1.3	2. Decision-making shall take into consideration the risks, business benefits, feasibility and financial impact.	03-03 Change request classification criteria
SPC.1.BP.4	**Evaluate changes using defined criteria.** Decision making also considers potential impacts of the change on existing services.	08.5.1.3	3.1 a) Decision making shall also consider potential impacts of the change on: a) existing services;	03-03 Change request classification criteria
SPC.1.BP.4	**Evaluate changes using defined criteria.** Decision making also considers potential impacts of the change on customers, users and other interested parties.	08.5.1.3	3.2 b) Decision making shall also consider potential impacts of the change on: b) customers, users and other interested parties;	03-03 Change request classification criteria
SPC.1.BP.4	**Evaluate changes using defined criteria.** Decision making also considers potential impacts of the change on policies and plans required by ISO/IEC 20000-1.	08.5.1.3	3.3 c) Decision making shall also consider potential impacts of the change on: c) policies and plans required by this document;	03-03 Change request classification criteria
SPC.1.BP.4	**Evaluate changes using defined criteria.** Decision making also considers potential impacts of the change on capacity, service availability, service continuity and information security.	08.5.1.3	3.4.1 d) Decision making shall also consider potential impacts of the change on: d) capacity, service availability, service continuity and information security;	03-03 Change request classification criteria
SPC.1.BP.4	**Evaluate changes using defined criteria.** Decision making also considers potential impacts of the change on other requests for change, releases and plans for deployment.	08.5.1.3	3.5 e) Decision making shall also consider potential impacts of the change on: e) other requests for change, releases and plans for deployment.	03-03 Change request classification criteria
SPC.1.BP.5	**Implement and verify changes that meet defined criteria.** Changes that meet defined criteria are implemented and verified.	08.5.1.3	4. Approved changes shall be prepared, verified and, where possible, tested.	02-03 Implemented changes log
SPC.1.BP.6	**Reverse or remedy changes that do not meet defined criteria.** Changes that do not meet defined criteria are reversed or remedied.	08.5.1.3	6.1 The activities to reverse or remedy an unsuccessful change shall be [planned and,] where possible, tested.	04-13 Reversing unsuccessful changes plan
SPC.2 Configuration management				

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
SPC.2.BP.1	**Identify items requiring configuration management.** The types of CI are defined. Services are classified as CIs.	08.2.6	1. The types of CI shall be defined. Services shall be classified as CIs.	05-4 Configuration item definition policy
SPC.2.BP.2	**Identify the relationship between CI's.** The configuration information recorded for each CI includes the relationship with other CIs.	08.2.6	4.4 d) The configuration information recorded for each CI shall include: d) relationship with other CIs;	05-4 Configuration item definition policy
SPC.2.BP.3	**Identify the status of configuration items and modifications.** The configuration information recorded for each CI includes status.	08.2.6	4.5 e) The configuration information recorded for each CI shall include: e) status.	05-4 Configuration item definition policy
SPC.2.BP.4	**Control changes to items under configuration management.** CIs are controlled.	08.2.6	5. CIs shall be controlled.	02-02 Configuration item change log
SPC.2.BP.4	**Control changes to items under configuration management.** The configuration information is updated following the deployment of changes to CIs.	08.2.6	7. The configuration information shall be updated following the deployment of changes to CIs.	02-02 Configuration item change log
SPC.2.BP.4	**Control changes to items under configuration management.** Before deployment of a release into the live environment, a baseline of the affected CIs is taken, if possible.	08.5.3	8. Before deployment of a release into the live environment, a baseline of the affected CIs shall be taken, if possible.	08-05 Configuration baseline
SPC.2.BP.5	**Assure the integrity of systems, products/services and product/service components.** The organization ensures that assets used to deliver services are managed to meet the service requirements and obligations.	08.2.5	1. The organization shall ensure that assets used to deliver services are managed to meet the service requirements and the obligations in ISO/IEC 20000-1:2018, 6.3 c).	05-3 CM interface to financial management policy
SPC.2.BP.5	**Assure the integrity of systems, products/services and product/service components.** Changes to CIs are traceable and auditable to maintain the integrity of the configuration information.	08.2.6	6. Changes to CIs shall be traceable and auditable to maintain the integrity of the configuration information.	02-02 Configuration item change log
SPC.2.BP.5	**Assure the integrity of systems, products/services and product/service components.** The organization verifies the accuracy of the configuration information.	08.2.6	8.1 [At planned intervals] the organization shall verify the accuracy of the configuration information,	09-05 Configuration item audit report

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
SPC.2.BP.5	**Assure the integrity of systems, products/services and product/service components.** Where deficiencies are found, the organization takes necessary actions.	08.2.6	9. Where deficiencies are found, the organization shall take necessary actions.	09-05 Configuration item audit report
TOP.01 Leadership				
TOP.01.BP.1	**Understand and analyse the context of the organization, including the expectations of its relevant interested parties.** The organization determines external and internal issues that are relevant to its purpose and that affect its ability to achieve the intended outcome(s) of its SMS.	04.1	1. The organization shall determine external and internal issues that are relevant to its purpose and that affect its ability to achieve the intended outcome(s) of its SMS.	03-12 Management system strategy: External and internal issues
TOP.01.BP.1	**Understand and analyse the context of the organization, including the expectations of its relevant interested parties.** The organization determines the interested parties that are relevant to the SMS and the services.	04.2	1.1 The organization shall determine: a) the interested parties that are relevant to the SMS and the services;	02-13 Service stakeholder list
TOP.01.BP.2	**Define the scope of management system activities, taking the context of the organization into consideration.** The organization determines the boundaries and applicability of the SMS to establish its scope.	04.3	1. The organization shall determine the boundaries and applicability of the SMS to establish its scope.	03-30 Service management system scope
TOP.01.BP.2	**Define the scope of management system activities, taking the context of the organization into consideration.** When determining this scope, the organization considers the external and internal issues referred to in ISO/IEC 20000-1:2018, 4.1.	04.3	2.1 When determining this scope, the organization shall consider: a) the external and internal issues referred to in ISO/IEC 20000-1:2018, 4.1;	03-30 Service management system scope
TOP.01.BP.2	**Define the scope of management system activities, taking the context of the organization into consideration.** When determining this scope, the organization considers the requirements referred to in ISO/IEC 20000-1:2018, 4.2.	04.3	2.2 When determining this scope, the organization shall consider: b) the requirements referred to in ISO/IEC 20000-1:2018, 4.2;	03-30 Service management system scope

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
TOP.01.BP.2	**Define the scope of management system activities, taking the context of the organization into consideration.** When determining this scope, the organization considers the services delivered by the organization.	04.3	2.3 When determining this scope, the organization shall consider: c) the services delivered by the organization.	03-30 Service management system scope
TOP.01.BP.2	**Define the scope of management system activities, taking the context of the organization into consideration.** The definition of the scope of the SMS includes the services in scope and the name of the organization managing and delivering the services.	04.3	3. The definition of the scope of the SMS shall include the services in scope and the name of the organization managing and delivering the services.	03-30 Service management system scope
TOP.01.BP.3	**Define the management system policy and objectives.** Top management establishes a service management policy is appropriate to the purpose of the organization.	05.2.1	1.1 a) Top management shall establish a service management policy that: a) is appropriate to the purpose of the organization;	05-9 Service management policy
TOP.01.BP.3	**Define the management system policy and objectives.** Top management establishes a service management policy that includes a commitment to satisfy applicable requirements.	05.2.1	1.3 c) Top management shall establish a service management policy that: c) includes a commitment to satisfy applicable requirements;	05-9 Service management policy
TOP.01.BP.3	**Define the management system policy and objectives.** Top management establishes a service management policy that includes a commitment to continual improvement of the SMS and the services.	05.2.1	1.4 d) Top management shall establish a service management policy that: d) includes a commitment to continual improvement of the SMS and the services.	05-9 Service management policy
TOP.01.BP.3	**Define the management system policy and objectives.** The organization establishes service management objectives at relevant functions and levels.	06.2.1	1. The organization shall establish service management objectives at relevant functions and levels.	03-25 Service management objectives
TOP.01.BP.3	**Define the management system policy and objectives.** The service management objectives are consistent with the service management policy.	06.2.1	2.1 The service management objectives shall: a) be consistent with the service management policy;	03-25 Service management objectives

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Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
TOP.01.BP.3	**Define the management system policy and objectives.** The service management objectives are measurable.	06.2.1	2.2 The service management objectives shall: b) be measurable;	03-25 Service management objectives
TOP.01.BP.3	**Define the management system policy and objectives.** The service management objectives take into account applicable requirements.	06.2.1	2.3 The service management objectives shall: c) take into account applicable requirements;	03-25 Service management objectives
TOP.01.BP.3	**Define the management system policy and objectives.** The service management objectives are updated as appropriate.	06.2.1	2.6 The service management objectives shall: f) be updated as appropriate.	03-25 Service management objectives
TOP.01.BP.4	**Determine the management system and operational process strategy.** The organization establishes, implements, maintains and continually improves an SMS, including the processes needed and their interactions, in accordance with the requirements of ISO/IEC 20000-1.	04.4	1. The organization shall establish, implement, maintain and continually improve an SMS, including the processes needed and their interactions, in accordance with the requirements of this document.	04-16 Service management plan
TOP.01.BP.4	**Determine the management system and operational process strategy.** Top management demonstrates leadership and commitment with respect to the SMS by ensuring that what constitutes value for the organization and its customers is determined.	05.1	1.4 d) Top management shall demonstrate leadership and commitment with respect to the SMS by: d) ensuring that what constitutes value for the organization and its customers is determined;	04-16 Service management plan
TOP.01.BP.4	**Determine the management system and operational process strategy.** Top management demonstrates leadership and commitment with respect to the SMS by ensuring there is control of other parties involved in the service lifecycle.	05.1	1.5 e) Top management shall demonstrate leadership and commitment with respect to the SMS by: e) ensuring there is control of other parties involved in the service lifecycle;	04-16 Service management plan

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
TOP.01.BP.4	**Determine the management system and operational process strategy.** Top management demonstrates leadership and commitment with respect to the SMS by promoting continual improvement of the SMS and the services.	05.1	1.11 k) Top management shall demonstrate leadership and commitment with respect to the SMS by: j) promoting continual improvement of the SMS and the services;	04-16 Service management plan
TOP.01.BP.4	**Determine the management system and operational process strategy.** When planning for the SMS, the organization considers the factors 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 prevent, or reduce, undesired effects.	06.1.1	1.2 b) When planning for the SMS, the organization shall consider the factors 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: b) prevent, or reduce, undesired effects;	03-14 Management system strategy: Management commitment
TOP.01.BP.4	**Determine the management system and operational process strategy.** When planning for the SMS, the organization considers the factors 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 achieve continual improvement of the SMS and the services.	06.1.1	1.3 c) When planning for the SMS, the organization shall consider the factors 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: c) achieve continual improvement of the SMS and the services.	03-14 Management system strategy: Management commitment
TOP.01.BP.4	**Determine the management system and operational process strategy.** The organization's SMS includes documented information required by ISO/IEC 20000-1.	07.5.1	1.1 The organization's SMS shall include: a) documented information required by this document;	03-11 Management system strategy: Documentation
TOP.01.BP.4	**Determine the management system and operational process strategy.** The organization's SMS includes documented information determined by the organization as being necessary for the effectiveness of the SMS.	07.5.1	1.2 The organization's SMS shall include: b) documented information determined by the organization as being necessary for the effectiveness of the SMS.	03-11 Management system strategy: Documentation

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Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
TOP.01.BP.4	**Determine the management system and operational process strategy.** Where applicable, the organization uses suppliers to operate services.	08.3.1	1.1 The organization may use suppliers to: a) operate services;	03-15 Management system strategy: Suppliers
TOP.01.BP.4	**Determine the management system and operational process strategy.** Where applicable, the organization uses suppliers to provide service components.	08.3.1	1.2 The organization may use suppliers to: b) provide service components;	03-15 Management system strategy: Suppliers
TOP.01.BP.4	**Determine the management system and operational process strategy.** Where applicable, the organization uses suppliers to operate service components.	08.3.1	1.3 The organization may use suppliers to: c) operate service components;	03-15 Management system strategy: Suppliers
TOP.01.BP.4	**Determine the management system and operational process strategy.** Where applicable, the organization uses suppliers to operate processes, or parts of processes, that are in the organization's SMS.	08.3.1	1.4 The organization may use suppliers to: d) operate processes, or parts of processes, that are in the organization's SMS.	03-15 Management system strategy: Suppliers
TOP.01.BP.4	**Determine the management system and operational process strategy.** The organization establishes arrangements for communicating with its customers and other interested parties.	08.3.2	4. The organization shall establish arrangements for communicating with its customers and other interested parties.	12-02 Business relationship management process requirements
TOP.01.BP.4	**Determine the management system and operational process strategy.** A change management policy is established to define service components and other items that are under the control of change management.	08.5.1.1	1.1 a) A change management policy shall be established [and documented] to define: a) service components and other items that are under the control of change management;	05-2 Change Management policy
TOP.01.BP.4	**Determine the management system and operational process strategy.** A change management policy is established that defines criteria to determine changes with the potential to have a major impact on customers or services.	08.5.1.1	1.5 c) A change management policy shall be established [and documented] that defines: c) criteria to determine changes with the potential to have a major impact on customers or services.	05-2 Change Management policy

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
TOP.01.BP.4	**Determine the management system and operational process strategy.** A change management policy is established that defines categories of change, including emergency change, and how they are to be managed.	08.5.1.1	1.3 b) A change management policy shall be established [and documented] that defines: b) categories of change, including emergency change, and how they are to be managed;	05-2 Change Management policy
TOP.01.BP.4	**Determine the management system and operational process strategy.** Management with appropriate authority approves an information security policy relevant to the organization.	08.7.3.1	1.1 Management with appropriate authority [shall approve] an information security policy relevant to the organization.	05-7 Information security policy
TOP.01.BP.4	**Determine the management system and operational process strategy.** The organization continually improves the suitability, adequacy and effectiveness of the SMS and the services.	10.2	1. The organization shall continually improve the suitability, adequacy and effectiveness of the SMS and the services.	05-6 Improvement policy
TOP.01.BP.5	**Demonstrate commitment and leadership with respect to the management system.** Top management demonstrates leadership and commitment with respect to the SMS by ensuring that the service management policy and service management objectives are established and are compatible with the strategic direction of the organization.	05.1	1.1 a) Top management shall demonstrate leadership and commitment with respect to the SMS by: a) ensuring that the service management policy and service management objectives are established and are compatible with the strategic direction of the organization;	03-14 Management system strategy: Management commitment
TOP.01.BP.5	**Demonstrate commitment and leadership with respect to the management system.** Top management demonstrates leadership and commitment with respect to the SMS by ensuring that the service management plan is created, implemented and maintained in order to support the service management policy, and the achievement of the service management objectives and the service requirements.	05.1	1.2 b) Top management shall demonstrate leadership and commitment with respect to the SMS by: b) ensuring that the service management plan is created, implemented and maintained in order to support the service management policy, and the achievement of the service management objectives and the service requirements;	03-14 Management system strategy: Management commitment

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Table C.1 *(continued)*

Base practice reference	Base practice description	ISO/IEC 20000 requirement reference	Associated singular requirement	Information item
TOP.01.BP.5	**Demonstrate commitment and leadership with respect to the management system.** Top management demonstrates leadership and commitment with respect to the SMS by communicating the importance of effective service management, achieving the service management objectives, delivering value and conforming to the SMS requirements.	05.1	1.8 h) Top management shall demonstrate leadership and commitment with respect to the SMS by: g) communicating the importance of effective service management, achieving the service management objectives, delivering value and conforming to the SMS requirements;	03-14 Management system strategy: Management commitment
TOP.01.BP.5	**Demonstrate commitment and leadership with respect to the management system.** Top management demonstrates leadership and commitment with respect to the SMS by directing and supporting persons to contribute to the effectiveness of the SMS and the services.	05.1	1.10 j) Top management shall demonstrate leadership and commitment with respect to the SMS by: i) directing and supporting persons to contribute to the effectiveness of the SMS and the services;	04-16 Service management plan
TOP.01.BP.5	**Demonstrate commitment and leadership with respect to the management system.** Top management demonstrates leadership and commitment with respect to the SMS by supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility.	05.1	1.12 l) Top management shall demonstrate leadership and commitment with respect to the SMS by: k) supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility.	04-16 Service management plan

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C.3 Mapping of requirements with base practices

Table C.2 identifies sub-clauses and singular requirements, associated base practices and implied information items.

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Table C.2 — Mapping of ISO/IEC 20000-1 requirements with base practices

Reference number	Singular requirement	BP reference	Base practice	Information item implied
04 Context of the organization				
04.1 Understanding the organization and its context				
1	1. The organization shall determine external and internal issues that are relevant to its purpose and that affect its ability to achieve the intended outcome(s) of its SMS.	TOP.01	**Leadership** 1. The context of the organization, including the expectations of its relevant interested parties, are understood and analyzed.	03-12 Management system strategy: External and internal issues
04.2 Understanding the needs and expectations of interested parties				
1	1.1 The organization shall determine: a) the interested parties that are relevant to the SMS and the services;	TOP.01	**Leadership** 1. The context of the organization, including the expectations of its relevant interested parties, are understood and analyzed.	02-13 Service stakeholder list
2	1.2 The organization shall determine: b) the relevant requirements of these interested parties.	RAA.1	**Business relationship management** 1. Needs and expectations of customers, users and other interested parties are identified.	04-16 Service management plan
04.3 Determining the scope of the service management system				
1	1. The organization shall determine the boundaries and applicability of the SMS to establish its scope.	TOP.01	**Leadership** 2. The scope of management system activities is defined, taking the context of the organization into consideration.	03-30 Service management system scope
2	2.1 When determining this scope, the organization shall consider: a) the external and internal issues referred to in ISO/IEC 20000-1:2018, 4.1;	TOP.01	**Leadership** 2. The scope of management system activities is defined, taking the context of the organization into consideration.	03-30 Service management system scope
3	2.2 When determining this scope, the organization shall consider: b) the requirements referred to in ISO/IEC 20000-1:2018, 4.2;	TOP.01	**Leadership** 2. The scope of management system activities is defined, taking the context of the organization into consideration.	03-30 Service management system scope
4	2.3 When determining this scope, the organization shall consider: c) the services delivered by the organization.	TOP.01	**Leadership** 2. The scope of management system activities is defined, taking the context of the organization into consideration.	03-30 Service management system scope
5	3. The definition of the scope of the SMS shall include the services in scope and the name of the organization managing and delivering the services.	TOP.01	**Leadership** 2. The scope of management system activities is defined, taking the context of the organization into consideration.	03-30 Service management system scope

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Table C.2 *(continued)*

Reference number	Singular requirement	BP reference	Base practice	Information item implied
6	4.1 The scope of the SMS shall be available [and be maintained] as documented information.	COM.02	**Documentation management** 6. Documented information is available to relevant interested parties.	03-30 Service management system scope
7	4.2 The scope of the SMS shall be [available and be] maintained as documented information.	COM.02	**Documentation management** 4. Documented information is current, complete and valid.	03-30 Service management system scope
04.4 Service management system				
1	1. The organization shall establish, implement, maintain and continually improve an SMS, including the processes needed and their interactions, in accordance with the requirements of this document.	TOP.01	**Leadership** 4. The management system and operational process strategy is determined.	04-16 Service management plan
05 Leadership				
05.1 Leadership and commitment				
1	1.1 a) Top management shall demonstrate leadership and commitment with respect to the SMS by: a) ensuring that the service management policy and service management objectives are established and are compatible with the strategic direction of the organization;	TOP.01	**Leadership** 5. Commitment and leadership with respect to the management system is demonstrated.	03-14 Management system strategy: Management commitment
2	1.2 b) Top management shall demonstrate leadership and commitment with respect to the SMS by: b) ensuring that the service management plan is created, implemented and maintained in order to support the service management policy, and the achievement of the service management objectives and the service requirements;	TOP.01	**Leadership** 5. Commitment and leadership with respect to the management system is demonstrated.	03-14 Management system strategy: Management commitment

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Table C.2 *(continued)*

Reference number	Singular requirement	BP reference	Base practice	Information item implied
3	1.3 c) Top management shall demonstrate leadership and commitment with respect to the SMS by: c) ensuring that appropriate levels of authority are assigned for making decisions related to the SMS and the services;	COM.09	**Operational implementation and control** 1. The required roles, responsibilities and authorities are allocated.	04-16 Service management plan
4	1.4 d) Top management shall demonstrate leadership and commitment with respect to the SMS by: d) ensuring that what constitutes value for the organization and its customers is determined;	TOP.01	**Leadership** 4. The management system and operational process strategy is determined.	04-16 Service management plan
5	1.5 e) Top management shall demonstrate leadership and commitment with respect to the SMS by: e) ensuring there is control of other parties involved in the service lifecycle;	TOP.01	**Leadership** 4. The management system and operational process strategy is determined.	04-16 Service management plan
6	1.6 f) Top management shall demonstrate leadership and commitment with respect to the SMS by: e) ensuring the integration of the SMS requirements into the organization's business processes;	COM.08	**Operational planning** 4. The sequence and interaction of the process with other processes is determined.	04-16 Service management plan
7	1.7 g) Top management shall demonstrate leadership and commitment with respect to the SMS by: f) ensuring that the resources needed for the SMS and the services are available;	COM.08	**Operational planning** 6. The required resources for performing the process are identified.	03-14 Management system strategy: Management commitment
8	1.8 h) Top management shall demonstrate leadership and commitment with respect to the SMS by: g) communicating the importance of effective service management, achieving the service management objectives, delivering value and conforming to the SMS requirements;	TOP.01	**Leadership** 5. Commitment and leadership with respect to the management system is demonstrated.	03-14 Management system strategy: Management commitment

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Table C.2 *(continued)*

Reference number	Singular requirement	BP reference	Base practice	Information item implied
9	1.9 i) Top management shall demonstrate leadership and commitment with respect to the SMS by: h) ensuring that the SMS achieves its intended outcome(s);	TOP.01	**Leadership** 3. The management system policy and objectives are defined.	04-16 Service management plan
10	1.10 j) Top management shall demonstrate leadership and commitment with respect to the SMS by: i) directing and supporting persons to contribute to the effectiveness of the SMS and the services;	TOP.01	**Leadership** 5. Commitment and leadership with respect to the management system is demonstrated.	04-16 Service management plan
11	1.11 k) Top management shall demonstrate leadership and commitment with respect to the SMS by: j) promoting continual improvement of the SMS and the services;	TOP.01	**Leadership** 4. The management system and operational process strategy is determined.	04-16 Service management plan
12	1.12 l) Top management shall demonstrate leadership and commitment with respect to the SMS by: k) supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility.	TOP.01	**Leadership** 5. Commitment and leadership with respect to the management system is demonstrated.	04-16 Service management plan
05.2 Policy				
05.2.1 Establishing the service management policy				
1	1.1 a) Top management shall establish a service management policy that: a) is appropriate to the purpose of the organization;	TOP.01	**Leadership** 3. The management system policy and objectives are defined.	05-9 Service management policy
1	1.1 a) Top management shall establish a service management policy that: a) is appropriate to the purpose of the organization;	TOP.01	**Leadership** 3. The management system policy and objectives are defined.	05-9 Service management policy
3	1.3 c) Top management shall establish a service management policy that: c) includes a commitment to satisfy applicable requirements;	TOP.01	**Leadership** 3. The management system policy and objectives are defined.	05-9 Service management policy

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Table C.2 *(continued)*

Reference number	Singular requirement	BP reference	Base practice	Information item implied
4	1.4 d) Top management shall establish a service management policy that: d) includes a commitment to continual improvement of the SMS and the services.	TOP.01	**Leadership** 3. The management system policy and objectives are defined.	05-9 Service management policy
05.2.2 Communicating the service management policy				
1	1.1 a) The service management policy shall: a) be available as documented information;	COM.02	**Documentation management** 1. Documented information to be documented is identified.	05-9 Service management policy
2	1.2 b) The service management policy shall: b) be communicated within the organization;	COM.01	**Communication management** 2. Parties to communicate with are identified.	05-9 Service management policy
3	1.3 c) The service management policy shall: c) be available to interested parties, as appropriate.	COM.01	**Communication management** 6. Information products are communicated to relevant interested parties.	05-9 Service management policy
05.3 Organizational roles, responsibilities and authorities				
1	1. Top management shall ensure that the responsibilities and authorities for roles relevant to the SMS and the services are assigned and communicated within the organization.	COM.09	**Operational implementation and control** 1. The required roles, responsibilities and authorities are allocated.	03-29 Service management roles and responsibilities
2	2.1 a) Top management shall assign the responsibility and authority for: a) ensuring that the SMS conforms to the requirements of this document;	COM.06	**Management review** 2. The status and performance of an activity or process are assessed in terms of the established objectives.	03-29 Service management roles and responsibilities
3	2.2 b) Top management shall assign the responsibility and authority for: b) reporting on the performance of the SMS and the services to top management.	RAA.3	**Service reporting** 3. Service reports are produced according to the service report requirements.	03-29 Service management roles and responsibilities

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