TECHNICAL REPORT

# ISO/IEC TR 20000-3

First edition
2009-11-01

# Information technology — Service management —

## Part 3: Guidance on scope definition and applicability of ISO/IEC 20000-1

*Technologies de l'information — Gestion des services —*

*Partie 3: Directives pour la définition du domaine d'application et l'applicabilité de l'ISO/CEI 20000-1*



Reference number
ISO/IEC TR 20000-3:2009(E)



ISO copyright office
Case postale 56 • CH-1211 Geneva 20
Tel. + 41 22 749 01 11
Fax + 41 22 749 09 47
E-mail copyright@iso.org
Web www.iso.org

Published in Switzerland

# Contents

Page


Foreword ..... iv

Introduction ..... v

1 Scope ..... 1

2 Normative references ..... 1

3 Terms and definitions ..... 1

4 Fulfilling the requirements specified in ISO/IEC 20000-1 ..... 1

5 Applicability of ISO/IEC 20000-1 ..... 2
5.1 Introduction ..... 2
5.2 Governance of processes operated by other parties ..... 3
5.3 The extent of technology used to deliver services ..... 4

6 General principles for an SMS scope ..... 4
6.1 Introduction ..... 4
6.2 Integrating or aligning with other management systems ..... 5
6.3 The scope of the SMS ..... 5
6.3.1 Defining the scope ..... 5
6.3.2 Limits to the scope ..... 5
6.4 Service contracts between customers and the service provider ..... 6
6.5 Scope definition parameters ..... 6
6.5.1 Permitted types of scope definition parameters ..... 6
6.5.2 Currency of parameters ..... 6
6.6 Changing the scope ..... 7
6.7 Supply chains and SMS scope ..... 7
6.7.1 Reliance on suppliers ..... 7
6.7.2 Supply chains ..... 7
6.7.3 Suppliers, lead suppliers and sub-contracted suppliers ..... 8
6.7.4 Demonstrating conformity ..... 9
6.7.5 Maintaining an accurate scope statement ..... 9

Annex A (informative) Main points on applicability of ISO/IEC 20000-1, scope definition of the SMS and conformity to ISO/IEC 20000-1 ..... 10

Annex B (informative) Examples of scope statements ..... 12

Bibliography ..... 24


## Figures


Figure 1 — Relationship with supplier ..... 8
Figure 2 — Relationship with lead suppliers and sub-contracted suppliers ..... 8
Figure B.1 — Scenario 1 ..... 12
Figure B.2 — Scenario 2 ..... 13
Figure B.3 — Scenario 3 ..... 15
Figure B.4 — Scenario 4 ..... 16
Figure B.5 — Scenario 5 ..... 17
Figure B.6 — Scenario 5 redrawn to show Service provider 5, part of Organization V ..... 18
Figure B.7 — Scenario 6 ..... 19
Figure B.8 — Scenario 7 ..... 20
Figure B.9 — Scenario 8 ..... 22

# Foreword

ISO (the International Organization for Standardization) and IEC (the International Electrotechnical Commission) form the specialized system for worldwide standardization. National bodies that are members of ISO or IEC participate in the development of International Standards through technical committees established by the respective organization to deal with particular fields of technical activity. ISO and IEC technical committees collaborate in fields of mutual interest. Other international organizations, governmental and non-governmental, in liaison with ISO and IEC, also take part in the work. In the field of information technology, ISO and IEC have established a joint technical committee, ISO/IEC JTC 1.

International Standards are drafted in accordance with the rules given in the ISO/IEC Directives, Part 2.

The main task of the joint technical committee is to prepare International Standards. Draft International Standards adopted by the joint technical committee are circulated to national bodies for voting. Publication as an International Standard requires approval by at least 75 % of the national bodies casting a vote.

In exceptional circumstances, the joint technical committee may propose the publication of a Technical Report of one of the following types:

— type 1, when the required support cannot be obtained for the publication of an International Standard, despite repeated efforts;

— type 2, when the subject is still under technical development or where for any other reason there is the future but not immediate possibility of an agreement on an International Standard;

— type 3, when the joint technical committee has collected data of a different kind from that which is normally published as an International Standard ("state of the art", for example).

Technical Reports of types 1 and 2 are subject to review within three years of publication, to decide whether they can be transformed into International Standards. Technical Reports of type 3 do not necessarily have to be reviewed until the data they provide are considered to be no longer valid or useful.

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.

ISO/IEC TR 20000-3, which is a Technical Report of type 2, was prepared by Joint Technical Committee ISO/IEC JTC 1, *Information technology*, Subcommittee SC 7, *Software and systems engineering*.

ISO/IEC TR 20000-3 was developed for use with ISO/IEC 20000-1 and ISO/IEC 20000-2.

ISO/IEC 20000 consists of the following parts, under the general title *Information technology — Service management* —

— *Part 1: Specification*

— *Part 2: Code of practice*

— *Part 3: Guidance on scope definition and applicability of ISO/IEC 20000-1* [Technical Report]

— *Part 5: Exemplar implementation plan for ISO/IEC 20000-1* [Technical Report]

# Introduction

This part of ISO/IEC 20000 provides guidance on scope definition, applicability and demonstration of conformity for the service provider aiming to fulfil the requirements specified in ISO/IEC 20000-1, or for the service provider intending to use ISO/IEC 20000-1 as a business objective. The intended user of this part of ISO/IEC 20000 is the service provider, but it could also be useful for consultants and assessors. It supplements the advice in the code of practice, ISO/IEC 20000-2, which provides generic guidelines for implementing a service management system (SMS) in accordance with ISO/IEC 20000-1. It is not intended as guidance on obtaining an ISO/IEC 20000-1 certificate.

This part of ISO/IEC 20000 takes the form of examples, guidance and recommendations. It should not be quoted as if it were a specification of requirements and particular care should be taken to ensure that declarations of conformity are not misleading.

ISO/IEC 20000-1 specifies requirements for an SMS to deliver information technology (IT) services. There are no requirements that relate to organization structure, size, names and type. ISO/IEC 20000-1 applies to service providers irrespective of size. The process requirements described in ISO/IEC 20000-1 do not change with organizational structure, technology or service. Operating the processes in a particular system or service environment will result in unique skill, tool and information requirements, even though the process attributes are unchanged.

The service provider who implements an SMS based on ISO/IEC 20000-1 is required to define the scope of the SMS as part of its planning. This part of ISO/IEC 20000 provides guidance on defining the scope of the SMS and on the applicability of ISO/IEC 20000-1. Guidance provided in this part of ISO/IEC 20000 will also be useful to the service provider who is making preparations for conformity assessment against ISO/IEC 20000-1, including how to state the scope of the SMS for the assessment.

Service management processes in the IT industry can cross many organizational, legal and national boundaries as well as different time zones. Many service providers depend on a complex supply chain for the delivery of services. Many service providers also provide a range of services to several different types of customer. This makes the scope of the SMS, and the agreement of the scope statement, a complex stage in the service provider's use of ISO/IEC 20000-1.

This part of ISO/IEC 20000 provides practical examples of scope statements for the service provider irrespective of whether they have experience of documenting a scope statement required by other management system standards.

# Information technology — Service management —

# Part 3: Guidance on scope definition and applicability of ISO/IEC 20000-1



## 1 Scope

ISO/IEC 20000-1 specifies a number of related management processes. This part of ISO/IEC 20000 provides guidance and commentary on scope definition and applicability of ISO/IEC 20000-1 to enable the service provider to fulfil the requirements specified in ISO/IEC 20000-1.

This part of ISO/IEC 20000 assists the service provider who is planning service improvements or preparing for a conformity assessment against ISO/IEC 20000-1. It can also assist the service provider who is considering using ISO/IEC 20000-1 for establishing a service management system (SMS) and who needs specific advice on whether ISO/IEC 20000-1 is applicable to its circumstances. Finally, it shows how to define the scope of an SMS based on practical examples.

This part of ISO/IEC 20000 gives a list of main points on stating scope, on the applicability of ISO/IEC 20000-1 and on demonstrating conformity to ISO/IEC 20000-1. It also includes examples of scope statements, which vary according to the service provider's circumstances.

## 2 Normative references

The following referenced document is indispensable for the application 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 20000-1, *Information technology — Service management — Part 1: Specification*

## 3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO/IEC 20000-1 and the following apply.

**3.1**
**assessor**
person, an internal or external auditor, who performs assessment activities necessary to establish whether the service provider's service management system fulfils the requirements specified in ISO/IEC 20000-1

## 4 Fulfilling the requirements specified in ISO/IEC 20000-1

Some service providers who have implemented a service management system (SMS) based on ISO/IEC 20000-1 wish to demonstrate conformity to the requirements specified in ISO/IEC 20000-1. The

service provider who wishes to demonstrate conformity should be able to demonstrate fulfilment of all requirements. The verbal form 'shall' is used for all requirements specified in ISO/IEC 20000-1.

The service provider should plan and record the improvements that are necessary to fulfil the requirements, so they are able to demonstrate that:

a) all processes required by ISO/IEC 20000-1 are documented and operated to achieve desired outcomes, including governance of those processes operated by other parties, within the scope of the SMS;

b) interfaces between processes are operated and documented within the service management plans and produce desired outcomes;

c) service management capability produces the agreed outcomes, according business needs and customer requirements;

d) the SMS is managed from an end-to-end perspective, working with suppliers and internal groups to meet the agreed outcomes.

There are three types of conformity assessments:

— first-party, done using the service provider's own resources, usually referred to as internal audit;

— second-party, done by a person or organization that has a user interest in the organization, such as customers, or by other persons on their behalf;

— third-party, done by a conformity assessment organization usually referred to as a certification body.

There are international standards on practices in conformity assessment. Some of them are designed for audits against management system standards. For example, ISO/IEC 17021 and ISO/IEC 19011 both include generic requirements for third-party assessments against management systems, including SMS. ISO/IEC 17021 is for third-party conformity assessment and ISO/IEC 19011 is for all types of conformity assessment.

ISO/IEC 17000 provides terms and definitions that are related to conformity assessment in general, including the terms first-party, second-party and third-party conformity assessment.

If the service provider intends to issue the declaration of conformity based on the successful results of a first-party conformity assessment that has proved the service provider fulfils the requirements specified in ISO/IEC 20000-1, the service provider should refer to ISO/IEC 17050-1 which specifies general requirements for such a declaration of conformity.

Certification bodies establish rules on the awarding of a certificate by the certification body following a successful third-party conformity assessment. For example, the certification body can require that an ISO/IEC 20000-1 certificate is only issued to a single legal entity, not a consortium.



## 5 Applicability of ISO/IEC 20000-1

### 5.1 Introduction

ISO/IEC 20000-1 is very widely applicable. A broad range of service providers can use an SMS based on ISO/IEC 20000-1. ISO/IEC 20000-1 applies to internal and external, large and small, and commercial and non-commercial service providers. The applicability of ISO/IEC 20000-1 is independent of the funding for the service so the costs may be in a single organizational budget covering both the internal customer and the internal service provider.

ISO/IEC 20000-1 can be applicable to the service provider even if its customers or suppliers have demonstrated conformity to ISO/IEC 20000-1. This is described in clause 5.2 and in Annex B.

Fulfilling all the requirements is not always possible for the service provider whose customers or suppliers have demonstrated conformity to ISO/IEC 20000-1. Typically, this arises when the service provider has governance of only some of the processes. Under these circumstances, the assessor's professional judgment can be that ISO/IEC 20000-1 is not appropriate and that another standard is more suitable, e.g. ISO 9001 or a more specialist standard covering only some aspects of service management, such as security or configuration management.

ISO/IEC 20000-1 is only applicable if the service provider remains accountable for the delivery of the service, as shown in the scenarios in Annex B.

## 5.2 Governance of processes operated by other parties

The service provider who wishes to conform to the standard is required to have governance of all processes in ISO/IEC 20000-1.

It is particularly important to demonstrate process governance if other parties operate some parts of the processes within the scope of the SMS.

Other parties may be internal groups in the same organization as the service provider, but who are not part of the service provider's own organizational unit. An internal group has a formal agreement with the service provider, specifying its contribution to the services delivered by the service provider.

Other parties may also be customers or suppliers. A customer is an organization or part of an organization that receives a service and may be internal or external to the service provider. A supplier is an external organization or part of an external organization and has a formal agreement with the service provider specifying its contribution to the services delivered by the service provider. Unlike internal groups, the supplier's formal agreement may be a legally-binding contract.

The service provider is required to demonstrate process governance by:

a) demonstrating accountability for the processes and the authority to require adherence to the processes. For example, establishing the information security policy, using controls, detecting breaches and initiating corrective actions;

b) controlling the definition of the processes and interfaces to other processes. For example, documenting, agreeing and operating the interfaces and dependencies of the change management process with the configuration management process;

c) determining process performance and compliance through access to and analysis of measurements and other records. For example, accessing a set of incident records and incident management process performance measurements, analysing them and initiating improvements;

d) controlling the planning and the prioritizing of process improvements. For example, assessing a set of improvements in the capacity management process, prioritizing them and scheduling their implementation.

The service provider can request other parties to use specific processes or can work with other parties to document and approve the processes that the other parties operate.

The service provider is not required to implement the process itself, in order to establish process governance.

Where suppliers are operating a process, the service provider is also required to manage the supplier through the supplier management process.

If the service provider relies on other parties for operation of the majority of the processes, the service provider is unlikely to be able to demonstrate governance of the processes. However, if other parties operate only a minority of the processes the service provider could fulfil the requirements specified in ISO/IEC 20000-1. Wherever other parties are involved, the service provider should be able to demonstrate process governance of all processes within the scope of the SMS.

In outsourced situations, the service provider should ensure that service contracts with suppliers do not prevent the service provider from having governance of all management processes within the scope of the SMS. Process governance has to be demonstrated only for processes included in the service provider's scope. Processes under the control of other parties cannot be included in the service provider's scope statement.

### 5.3 The extent of technology used to deliver services

The applicability of ISO/IEC 20000-1 is unaffected by the technologies used for the delivery of services, including the technologies used to automate service management processes. This is the case even if the technology is not included in the list of examples given below.

The technologies used by a service do not change the management processes, but will have a direct impact on the skill, tool and data requirements of the process activities.

The extent of technology includes but is not limited to the following:

a) servers and mainframes;

b) desktops;

c) networks;

d) telecommunications;

e) storage systems;

f) environmental equipment;

g) applications;

h) multi-media systems;

i) mobile and smart devices;

j) management tools and systems.

## 6 General principles for an SMS scope

### 6.1 Introduction

The service provider is required to define the scope of the SMS and include a scope statement in the service management plan, before establishing the SMS. Top management of the service provider are responsible for the service management plan. After the SMS has been established top management are responsible for reviewing the scope of the SMS for continuing effectiveness and validity.

The scope of the SMS is required to take into account that demonstrating conformity requires fulfilment of all requirements specified in ISO/IEC 20000-1. The service provider needs to have governance of all processes within the scope of the SMS, including processes crossing organizational boundaries between the service provider and other parties.

The scope statement should:

a) be as simple as possible;

b) be understandable without detailed knowledge of the service provider’s organization;

c) include enough information for use in conformity assessment;

d) be worded so it does not intentionally or unintentionally imply that something is included if it is excluded.

## 6.2 Integrating or aligning with other management systems

The service provider should be aware that ISO/IEC 20000-1 enables alignment or integration of an SMS with other related management systems. The inclusion of the Plan-Do-Check-Act model in ISO/IEC 20000-1 enhances compatibility with other management system standards.

The service provider may define the scope of its SMS as geographically or organizationally identical to the scope of other management systems, such as an Information Security Management System (ISMS) based on ISO/IEC 27001 or a Quality Management System (QMS) based on ISO 9001.

However, the service provider should be aware that there could be a need for differences within the scope in order to fulfil specific requirements in each management system standard. There are differences in requirements because each type of management system has a different purpose. The SMS, ISMS and QMS each cover topics that the others do not.

## 6.3 The scope of the SMS

### 6.3.1 Defining the scope

The service provider should discuss the scope statement with its assessor. Reassurance that the proposed scope is valid, before establishing the SMS, will avoid setting false expectations.

The service provider should demonstrate that the scope is valid at the beginning of an assessment because it is fundamental to the assessor's planning of the assessment.

Processes and services to customers outside the scope of the SMS do not have to fulfil the requirements specified in ISO/IEC 20000-1 and will not influence or affect an assessment. Exclusions do not have to be referred to in the scope statement but can help to make the scope statement unambiguous.

### 6.3.2 Limits to the scope

Where the service provider intends to include an entire business area in the SMS, defining the scope of an SMS is relatively simple. This is because the scope is everything the service provider does. If the service provider includes only some of its services in the SMS it can be difficult to define the scope in simple terms or to avoid ambiguity.

A demonstration of conformity may be the fulfilment of all requirements for one small service to one customer, which represents a small proportion of the service provider's total services. This needs to be explicitly stated in the scope statement, to avoid any risk of the scope statement being misunderstood.

The external service provider can have many customers and deliver many services, so the scope of the SMS may include services for several customers. When this is the case, the processes should be used to deliver services to each customer. The processes for each customer may vary in detail, but each process is required to fulfil the requirements for that process.

An internal service provider supplies services to customers within the same organization as the service provider. In the situation where an internal service provider supplies many services to many customers within its own organization, the scope statement should be based on the services offered, within the scope of the SMS.

Despite the difficulty of including only some services in the SMS, many service providers prefer to demonstrate conformity initially for only some of the services. The service provider may then extend the scope of the SMS, up to the whole extent of the service provider's services, as described in clause 6.6.

## 6.4 Service contracts between customers and the service provider

The service provider delivering services under the terms of a legally binding contract should be aware that it is not possible for the contract to reduce the service provider's obligation to fulfil all the requirements specified in ISO/IEC 20000-1. Nor is it possible for the terms of a contract to remove the assessor's obligations to obtain sufficient evidence of conformity to all the requirements. This is the case even if a contract limits the services and processes.

## 6.5 Scope definition parameters

### 6.5.1 Permitted types of scope definition parameters

The service provider should use parameters to define the scope of the SMS to ensure that there is no ambiguity about what is included and excluded. The parameters include but are not limited to:

a) organizational units providing services, e.g. a single department, group of departments or all departments;

b) services offered, e.g. a single service, group of services or all services, financial services, retail services, email services;

c) geographical location from which the service provider delivers the services, e.g. a single office or group of offices, regional, national or global;

d) customers and their locations, e.g. one customer, many customers, external customers or internal customers;

e) technology used to provide the services (see 5.3).

The scope statement cannot include the names of other parties contributing to the delivery of the service.

If the scope statement includes many customers, services or locations, then an assessor may base the assessment on a sample, using his/her professional judgement for selection of the sample and what will be assessed. The scope statement may include the full range of customers, services and locations within the scope of the SMS, not just those sampled.

EXAMPLE:

The structure of a scope statement may be:

"The service management system of <*name of service provider organizational unit*> that delivers <*service(s)*> to <*customer organizational name and/or name of organizational unit*> from <*geographical location*>"

A scope statement using the names of customers may include only those customers where all requirements are fulfilled, even if the service provider has many other customers. Alternatively, instead of using customer names, other parameters, such as service, location, or technology, may be used. For example, "*all services from the data centre at location A*" or "*all mainframe-based services*" could include several customers, without listing individual customers.

Examples based on commonly used scope definition parameters are given in Annex B.

### 6.5.2 Currency of parameters

The parameters used in scope statements can become out of date. The service provider should review the scope of the SMS and scope statements on a regular basis, to check that they are still valid.

The service provider should ensure that the scope statement is, as far as possible, able to accommodate changes without introducing ambiguity. Although any parameters can become out of date, an explicit list of organizational units (departments), geographic locations (specific addresses) or services is normally useful.

Scope statements based on a reference to a repository of information, such as a catalogue of services, can provide a simple scope statement. Therefore care should be taken is using this approach as the scope statement can be ambiguous or quickly become out of date due to changes to the contents of the repository.

## 6.6 Changing the scope

Some service providers will only ever demonstrate conformity for some services, dependent upon their business need. However, the service provider may start with a scope that includes only some services and then later increase the services included in the scope of the SMS. It will be necessary to revise both the SMS and scope statement, to include the additional services.

A major change to the scope of the SMS can mean that the service provider is unable to demonstrate conformity to the requirements specified in ISO/IEC 20000-1. For example, the service provider may extend the scope by including new services such as those previously provided by suppliers. A major change may also be a decrease in the scope of the SMS, e.g. the retirement of services.

A major change to the scope of the SMS should be managed using a project or programme of improvements or other changes. This minimizes the risk to the service and the service provider's ability to demonstrate conformity to the requirements in ISO/IEC 20000-1.

When the revised SMS is assessed for the first time it is normally also necessary to re-assess the initial SMS. This is usually necessary even if the initial SMS was not due for a routine re-assessment.

## 6.7 Supply chains and SMS scope

### 6.7.1 Reliance on suppliers

Being reliant on suppliers or internal groups for part of service delivery does not prevent the service provider implementing an SMS based on ISO/IEC 20000-1.

Annex B contains examples of valid and invalid scenarios for the scope of the SMS and scope statements. Most illustrate supply chains arising from complex arrangements between suppliers, internal groups, customers and the service provider.

### 6.7.2 Supply chains

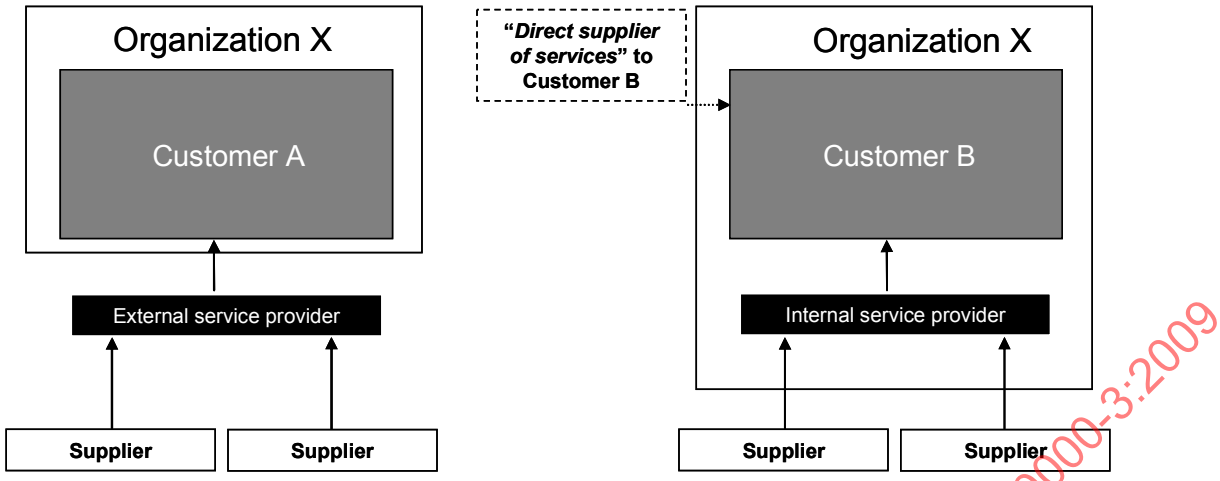
The service provider should be aware that the relationships between the organizations in a supply chain can influence both the scope of the SMS and the scope statement. Understanding the supply chain is fundamental to establishing an effective scope for the SMS and to defining a valid scope statement.

Figure 1 illustrates examples of two supply chains.

The first example in Figure 1 is a simple example where a service provider is external to its customer's organization (Customer A). This type of relationship is commonly a commercial outsourcing organization providing services to several customer organizations. For simplicity, Figure 1 shows only one customer.

The second example in Figure 1 is a service provider that is part of the same organization as their customers, generally referred to as an internal service provider. This customer is Customer B. In this second example, a supplier (shown by the dotted line box) is under the control of Customer B. This supplier is therefore also outside the scope of the internal service provider.

The service provider is required to have governance of the processes operated by the "Direct supplier of services" if they wish to include the direct supplier's processes in the scope statement. The service provider and Customer B cannot both have governance of the processes operated by the direct supplier. The service provider can find it difficult to establish process governance if the direct supplier's contract is with Customer B.




NOTE "Direct supplier of services" is managed by Customer B and are therefore out of scope of the internal service provider's SMS.

**Figure 1 — Relationship with supplier**

### 6.7.3 Suppliers, lead suppliers and sub-contracted suppliers

When the service provider has several suppliers it is common to appoint one supplier as the lead supplier. The three-stage supply chain becomes a four-stage supply chain, as illustrated in Figure 2. The service provider and lead supplier have a direct relationship and a contract. The service provider and the sub-contracted suppliers do not have a direct relationship and the contract can be with the lead supplier. The lead supplier manages the sub-contracted suppliers on behalf of the service provider.

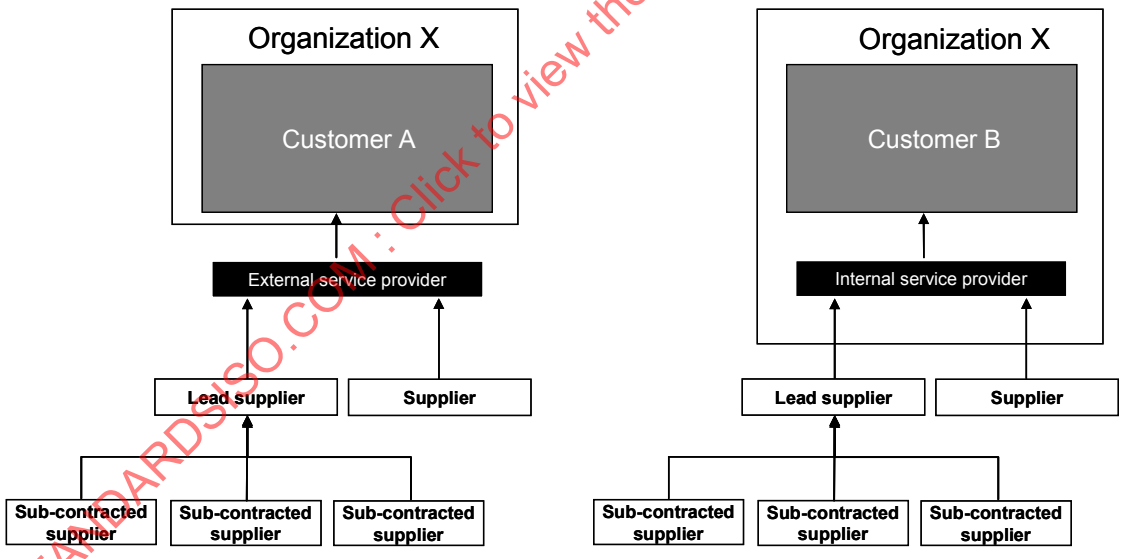



**Figure 2 — Relationship with lead suppliers and sub-contracted suppliers**

There should be clarity on the responsibilities of the lead supplier in order to define the scope of the service provider's SMS: the lead supplier operates the processes and process governance is performed by the service provider.

Supply chains are often far more complex than the four-level supply chain illustrated in Figure 2. The scope of the SMS can still be simple if the service provider understands:

a) what is required for process governance;

b) which organization operates which part of each process;

c) which organization is the lead supplier.

The service provider is required to retain overall accountability for the service, irrespective of where the service originates in the supply chain.

### 6.7.4 Demonstrating conformity

The service provider is required to demonstrate conformity to the requirements for control of suppliers as specified in ISO/IEC 20000-1.

Other organizations in a supply chain need not conform to ISO/IEC 20000-1 in order for the service provider to demonstrate conformity. Conversely, it is possible for several organizations in a supply chain to fulfil the requirements specified in ISO/IEC 20000-1. The service provider and its suppliers can each implement an SMS independently and each can fulfil all the requirements specified in ISO/IEC 20000-1.

It is common for process activities, within a single process, to be performed by more than one organization. It is important that the service provider needs to have governance of the process, including definition and agreement of the responsibilities of other parties.

When a process is operated by two or more organizations, only one can demonstrate governance of that process. The other organizations can only demonstrate adherence to that process or demonstrate process governance of another usage of the same process. There should be clarity on the different usages and separate records and documentation. This is required for planning and for the assessment against ISO/IEC 20000-1. This is a common circumstance for the service provider with more than one customer, and for organizations that rely on a complex supply chain of multiple suppliers, lead suppliers and sub-contracted suppliers.

### 6.7.5 Maintaining an accurate scope statement

It is the service provider's responsibility to ensure that the scope of the SMS remains valid after it has been documented. This is done by conducting reviews at planned intervals to identify discrepancies. If the actual scope does not match the declared scope, then the scope statement needs to be amended. If the difference is considered significant, a re-assessment may be required.

It is the assessor's responsibility to verify the service provider's declared scope for accuracy and validity.

# Annex A
(informative)

# Main points on applicability of ISO/IEC 20000-1, scope definition of the SMS and conformity to ISO/IEC 20000-1



## A.1 General

When defining the scope of an SMS and developing a scope statement based on ISO/IEC 20000-1, the service provider should consider the following:

### A.1.1 Multiple legal entities

Third-party certification bodies can require that an ISO/IEC 20000-1 certificate is only issued to a single legal entity, not a consortium.

### A.1.2 Commercial status

a) The service may be provided on a commercial or non-commercial basis. The financial basis of the service provision is irrelevant to the decision on applicability, scope of the SMS or scope statement.

b) The service provider does not need to own assets of the service in order to fulfil the requirements specified in ISO/IEC 20000-1.

### A.1.3 Process names

The service provider's choice of names for service management processes does not have to be based on the names used in ISO/IEC 20000-1, as the requirements are about the existence of processes, their content, capability, quality and usage.

NOTE Mapping of the process names adopted by the service provider to those used in ISO/IEC 20000-1 will assist the service provider and assessor in recognizing how the requirements specified in ISO/IEC 20000-1 are fulfilled.

### A.1.4 Inclusions and exclusions

a) The scope of an SMS and the scope statement based on ISO/IEC 20000-1 should define what has been included within the scope. To aid clarity, it can be useful to state what is outside the scope.

b) The service provider needs to keep evidence to demonstrate that all the requirements specified in ISO/IEC 20000-1 are fulfilled.

c) All the service management processes need to be implemented and operated throughout the scope of an SMS to fulfil the requirements specified in ISO/IEC 20000-1.

### A.1.5 Authorities and responsibilities

a) Some of the service management process activities, which need to be operated within the scope of an SMS, may be operated by other parties, either suppliers or internal groups. It is important that the service provider needs to have governance of the process, including definition and agreement of the responsibilities of other parties.

b) The service provider should have identified and documented all functional groups, departments or organizations involved in the scope of service management, i.e. the service provider's own organization, suppliers, lead suppliers and sub-contracted suppliers.

c) The service provider should demonstrate governance of the processes within the scope of the SMS, regardless of whether these processes are operated by the service provider or other parties, either suppliers or internal groups.

### A.1.6 Interfaces and process integration

a) There needs to be clarity on boundaries between the service provider and customers and between the service provider and other parties.

b) The service provider should demonstrate appropriate integration of processes, which is fundamental to best practice service management and is required by ISO/IEC 20000-1.

c) The service provider should provide documentation defining interfaces between processes, and to demonstrate clearly how they are controlled by the service provider.

### A.1.7 Evidence of conformity

The service provider should be aware that the service provider and a supplier or customer could not both demonstrate process governance of a single set of processes and evidence, where the scope of the SMS is the same.

### A.1.8 Parameters for scope statements

When establishing a scope statement, the service provider should ensure that the statement explicitly defines the scope of the SMS. The service provider should consider using unambiguous parameters for stating the scope. The service provider should ensure that the scope statement is easily understandable by interested parties that are not part of the service provider's organization.

### A.1.9 Extending the scope

When a small scope is assessed, e.g. a single service or single location, it is necessary for the service provider to present suitable evidence for all the requirements specified in ISO/IEC 20000-1. If the scope is extended, then the service provider needs to provide suitable evidence for all the requirements specified in ISO/IEC 20000-1 for the extended scope.

# Annex B
(informative)

# Examples of scope statements

## B.1 General

The following scenarios are illustrations of scope definitions required by ISO/IEC 20000-1. In the scenarios, the arrows indicate that a service flows from the service provider to its customer(s) as well as from the service provider's suppliers to the service provider. To simplify the figures, operational activities are not shown. The parameters used in some of the examples, e.g. customers, may in other situations quickly become out of date and in those situations be less suitable in a scope statement.

Each scenario is a separate situation. Example scope statements are included for each scenario.

## B.2 Scenario 1

An internal service provider department is the sole service provider within Customer C, as illustrated in Figure B.1. The internal service provider uses service management best practices for all services offered to each internal business unit (Business units 1 to 3) and hopes to demonstrate conformity to ISO/IEC 20000-1. The service provider plans to complete implementation of the service management processes for all its services within the next year.

The service provider operates all service management processes. There are three suppliers but they do not supply services relevant to service management.

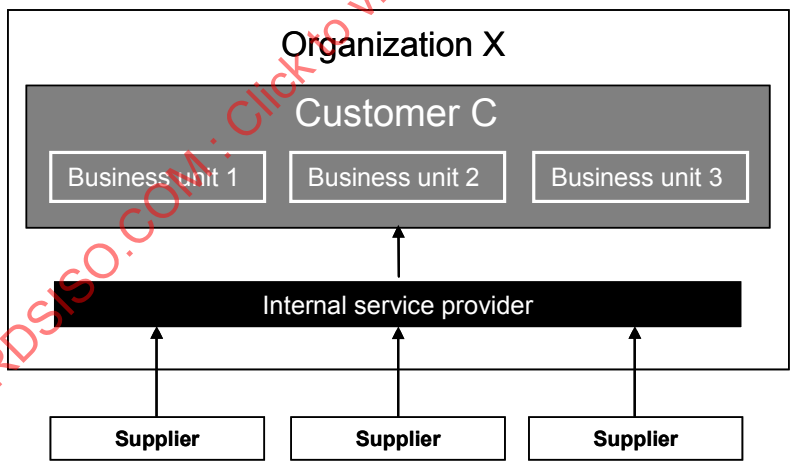



**Figure B.1 — Scenario 1**



**Can the internal service provider of Customer C demonstrate conformity to ISO/IEC 20000-1?**

Yes. The service provider of Customer C can demonstrate conformity when the process implementation and improvements are complete and they have fulfilled all the requirements.

**What is the scope statement for the service provider?**

This is a straightforward example. The service provider, as part of Customer C's organization X, could specify the scope for its department and its service management processes.

EXAMPLE

The scope statement could be:

The SMS that supports the delivery of all internal IT services to Customer C by the internal service provider of Customer C.

## B.3 Scenario 2

Customer D is similar to the previous service provider, but Customer D's service desk function is outsourced to Supplier 1, an external supplier. In this scenario, illustrated in Figure B.2, Supplier 1 is responsible for delivering operational first-line support services, via the service desk function. This involves operating part of the incident management process on behalf of the internal service provider. Although Supplier 1's service is delivered to the whole of Customer D's organization, the agreement is between Supplier 1 and the internal service provider. The three other suppliers do not deliver services relevant to service management.

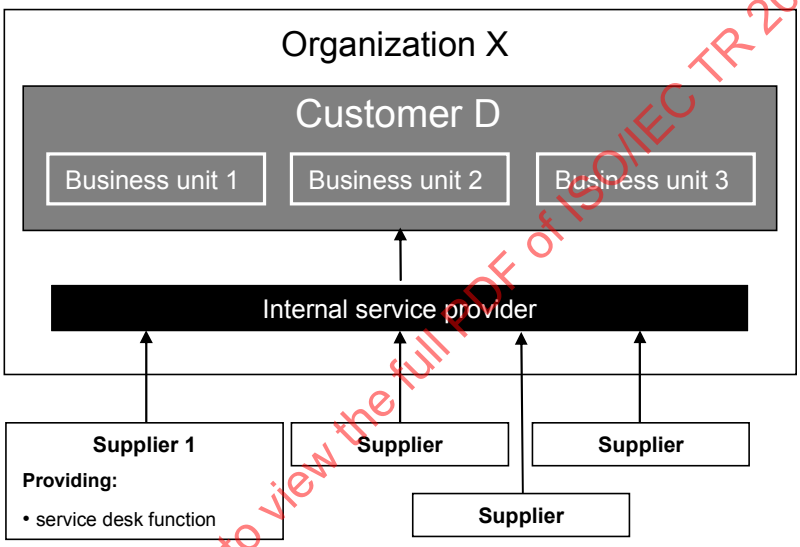



**Figure B.2 — Scenario 2**

**Can the internal service provider of Customer D demonstrate conformity to ISO/IEC 20000-1?**

Yes, if the internal service provider can demonstrate governance of the processes that span the boundary between the service provider and Supplier 1, e.g. those used for incident management.

ISO/IEC 20000-1 does not include requirements for specific departments or functions to be included in the scope of the SMS of the scope statement. A service desk is a function, not a process, so ISO/IEC 20000-1 does not include requirements for the service provider to have governance of the staff and facilities of an outsourced service desk function. The service provider should have governance of the processes operated by the service desk function.

There should be evidence that the processes operated by the outsourced service desk function and the interfaces between processes are defined. This includes where the processes span the boundary between organizations. For example, the incident management process could be defined in such a way so as to ensure that:

a) all incidents for the defined services are recorded;

b) the procedures to manage the impact of service incidents are co-ordinated between the supplier of the service desk function and the internal service provider;

c) the procedures that define the recording, prioritization, business impact, classification, updating, escalation, resolution and formal closure of all incidents are aligned where appropriate;

d) Customer D is kept informed of the progress of reported incidents;

e) all staff who operate the incident management process have access to relevant information. This includes known errors, problem resolution records and the configuration management database information being accessible to first-line staff in the service desk and the service provider's second-line and third-line staff;

f) information and management reports from the service desk is accessible to the service provider as the processes cannot be effectively managed without them;

g) the internal service provider to Customer D has access to Supplier 1's incident and problem management information, for all the records relating to Customer D's IT services.

**What is the scope statement for the internal service provider?**

EXAMPLE

The scope statement could be:

The SMS that supports the provision of all internal IT services to Customer D by the internal service provider of Customer D.

Although the service desk function is outsourced to Supplier 1, if the service provider has retained governance of all the processes required by ISO/IEC 20000-1 the scope statement given above will be valid.

**Can Supplier 1 demonstrate conformity to ISO/IEC 20000-1?**

No, if the internal service provider retained governance of the processes, Supplier 1 cannot also demonstrate conformity to ISO/IEC 20000-1 using the same evidence of governance for those same processes, i.e. for its service desk services to Customer D. This is because Supplier 1 cannot demonstrate process governance of the same set of processes as the internal service provider.

Under some circumstances, Supplier 1 can demonstrate conformity to ISO/IEC 20000-1 for services to other customers, by demonstrating governance of the processes. Supplier 1 can also demonstrate conformity to ISO/IEC 20000-1 based on its own internal processes, i.e. the services, technology and processes used to support its own staff.

## B.4 Scenario 3

The scenario in Figure B.3 shows that the application management work for Customer E's back office systems is outsourced to the external supplier, Supplier 2. Application management is the development, support and maintenance of all applications. Supplier 2 also provides the service desk services. The internal service provider has retained all aspects of management of the infrastructure. Infrastructure management is the design and planning, deployment, operation and technical support of the infrastructure. The three other suppliers do not supply services relevant to service management.

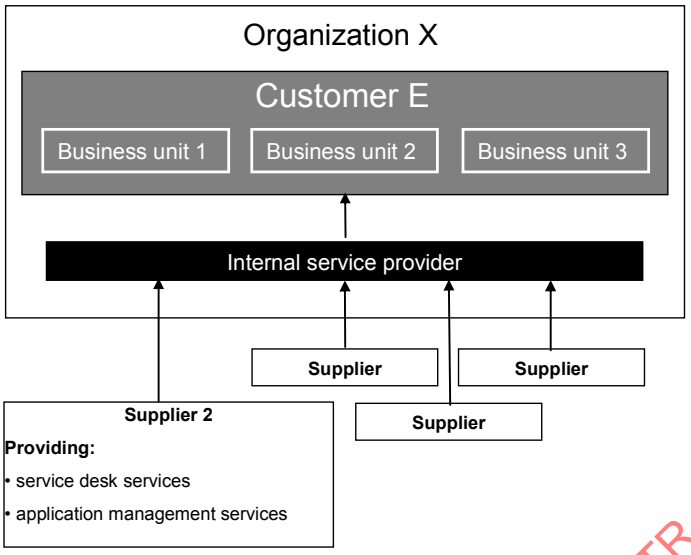



**Figure B.3 — Scenario 3**

**Can Customer E's service provider demonstrate conformity to ISO/IEC 20000-1?**

Yes. Application management services do not have to be included in the scope of service management to demonstrate conformity to ISO/IEC 20000-1. In this scenario, the service provider is still responsible for all the processes required by ISO/IEC 20000-1 for infrastructure management services. As a result, the service provider can demonstrate governance of all the required processes.

A requirement specified in ISO/IEC 20000-1 is for there to be a formal agreement between the service provider and a supplier, defining the requirements placed on the supplier. This is usually a legally binding contract, because the service provider and supplier are separate legal entities. During an assessment, the service provider should demonstrate that this formal agreement exists.

The service provider should also demonstrate that the supplier management process ensures delivery of the requirements by the supplier. An assessor can require evidence, e.g. process and procedure documents and records such as service reports from suppliers, for the assessment. However, a supplier need not conform to ISO/IEC 20000-1 in order for Customer E's internal service provider to demonstrate conformity.

**What is the scope statement for the service provider?**

Although the service provider has outsourced some of its operational activities and services to Supplier 2, if the service provider has governance of all the processes for infrastructure management, specified in ISO/IEC 20000-1 the scope statement given below is valid.

EXAMPLE

The scope statement could be:

The SMS that supports the provision of all infrastructure management services to Customer E by the internal service provider of Customer E.

**Can Supplier 2 demonstrate conformity to ISO/IEC 20000-1 for the scope of services that they provide to Customer E?**

Supplier 2 can also demonstrate conformity to ISO/IEC 20000-1 for its application management services if they, rather than the service provider, have governance of the processes used for application management. If Supplier 2 cannot demonstrate process governance, Supplier 2 can demonstrate conformity for other services, other customers, or Supplier 2's own internal service management processes.

## B.5 Scenario 4

Customer F's internal service provider's service desk, infrastructure management, and application management services are outsourced to an external supplier, Supplier 3. This is illustrated in Figure B.4.

Customer F did this to avoid investing in tools. In addition, Customer F's internal service provider decided to avoid the management involvement they needed for an effective configuration management process.

They also decided to minimize management involvement in service delivery and in resolution of problems and incidents in order to concentrate management effort on project-based activities. Customer F's incident management and problem management processes are outsourced to Supplier 3.

The three other suppliers shown in Figure B.4 do not supply services relevant to service management.

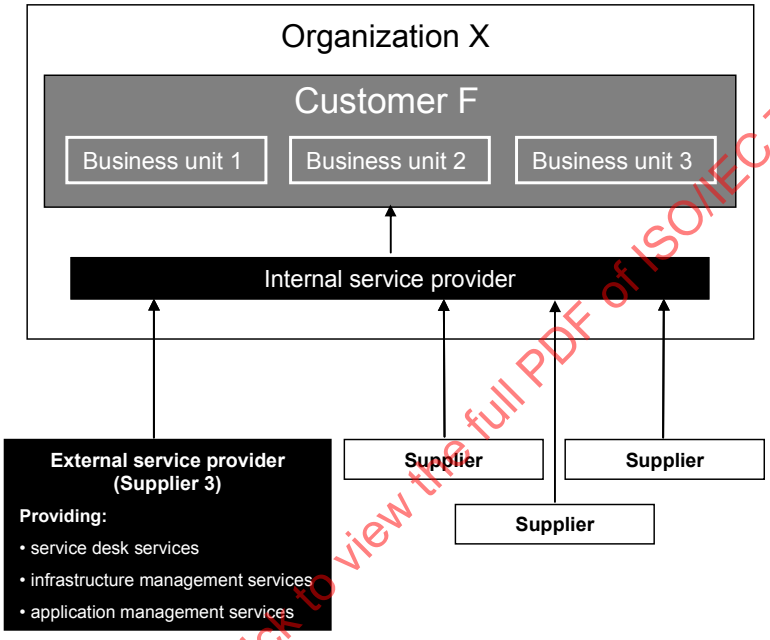



**Figure B.4 — Scenario 4**

**Can Customer F's internal service provider demonstrate conformity to ISO/IEC 20000-1?**

No, because they cannot demonstrate process governance of all processes in ISO/IEC 20000-1.

Avoiding investment in tools is not a barrier to demonstrating conformity to ISO/IEC 20000-1. ISO/IEC 20000-1 requires tools "as appropriate" and that tools that are used, are used effectively. However, as the service provider decided to avoid any involvement in some processes it is not possible to fulfil all the requirements specified in ISO/IEC 20000-1.

This is not just the requirements for incident, problem and configuration management processes. This is also management of the interfaces between processes and for the service provider to ensure that processes are effectively integrated. This decision also affects closely related processes such as change management and release management.

The biggest barrier to this service provider demonstrating conformity is the decision to minimize management involvement in service management. The service provider is unable to fulfil some of the most fundamental requirements. ISO/IEC 20000-1 specifies many requirements that cannot be met unless there is demonstrable management involvement and commitment. Top management are also accountable for the quality of the service.

This service provider can demonstrate governance of only some of the processes in ISO/IEC 20000-1 and cannot fulfil many of the requirements. Under these circumstances, ISO/IEC 20000-1 is not applicable to this service provider. This is the case even if the service provider has a very high standard supplier management process. Although this internal service provider cannot fulfil all requirements, ISO/IEC 20000-1 can be useful as an objective for the processes where they do retain governance. It can also be useful as a requirement of its suppliers, including Supplier 3.

**Can Supplier 3 demonstrate conformity to ISO/IEC 20000-1?**

Yes. In this scenario Supplier 3 is responsible for all the service management processes for infrastructure management and application management services delivered to Customer F. As a result Supplier 3 can demonstrate governance of all the required processes.

**What is the scope statement for Supplier 3?**

EXAMPLE

The scope statement could be:

The SMS that supports the provision of all infrastructure management and application management services to Customer F by Supplier 3.

## B.6 Scenario 5

Figure B.5 illustrates a scenario where the internal service provider of Customer G has demonstrated conformity to ISO/IEC 20000-1 for infrastructure management services. To do this the internal service provider demonstrated governance of the processes operated by Supplier 4. The three other suppliers do not supply services relevant to service management.

Supplier 4 now wishes to demonstrate conformity to ISO/IEC 20000-1 because several customer organizations have specified this in invitations to tender.

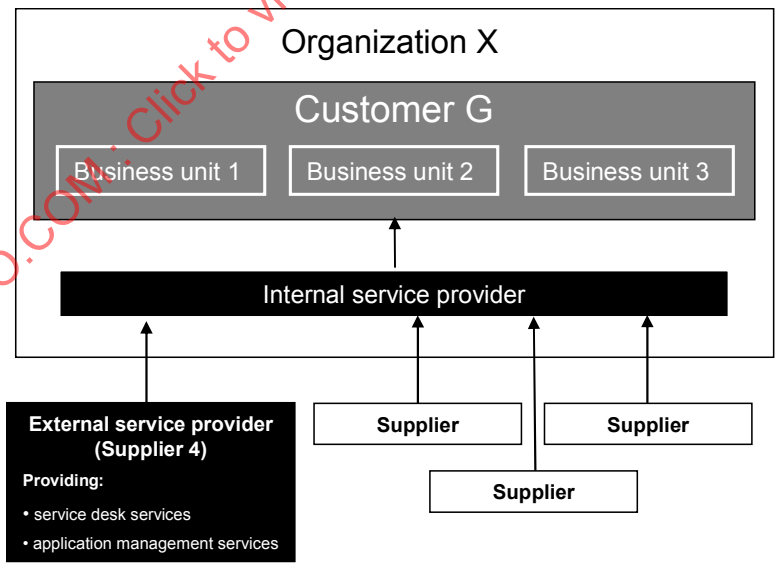



**Figure B.5 — Scenario 5**

**Can Supplier 4 demonstrate conformity to ISO/IEC 20000-1 even though the internal service provider of Customer G has demonstrated conformity to ISO/IEC 20000-1?**

Yes, as long as certain conditions are met. Being a supplier to the service provider who has demonstrated conformity to ISO/IEC 20000-1 does not mean that a supplier cannot also demonstrate conformity. Supplier 4

cannot demonstrate conformity based only on the service it provides to Customer G. However, it is possible that Supplier 4 can demonstrate conformity for services delivered to other customers or Supplier 4's own organization.

As in all other scenarios the implications of the supply chain need to be understood for the scope of the SMS and development of a valid scope statement. This is illustrated by redrawing Figure B.5 as Figure B.6, showing Supplier 4 as part of Organization V.

Supplier 4, shown in both Figure B.5 and Figure B.6, is part of a much bigger organization, Organization V. Part of Organization V is the external service provider to Customer H. This part of Organization V can demonstrate conformity to ISO/IEC 20000-1. This part of Organization V is also the external service provider to 'Other customers' and the internal service provider to Organization V's internal users. This is shown in Figure B.6.

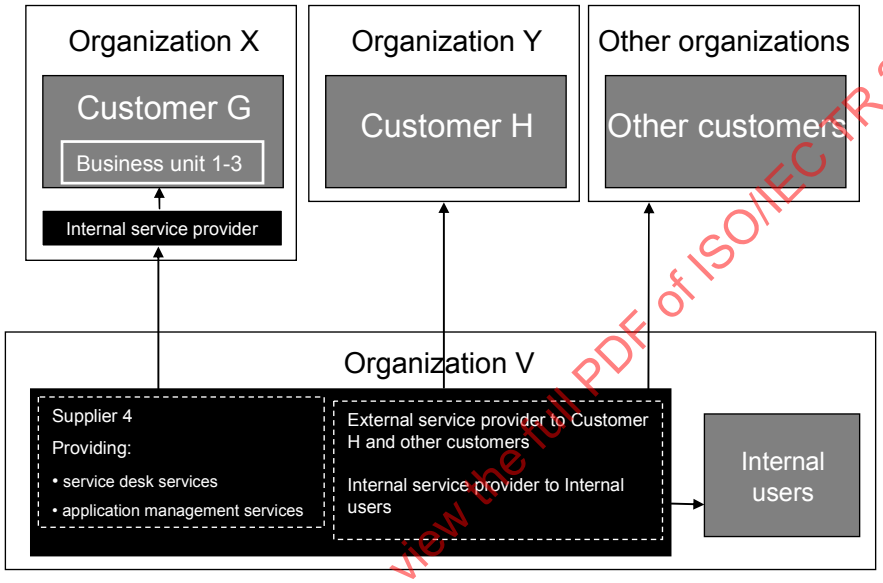



**Figure B.6 — Scenario 5 redrawn to show Service provider 5, part of Organization V**

The part of Organization V delivering services to Customer H is required to define and establish an SMS, including a valid scope statement. The scope may only reflect where all requirements are fulfilled and process governance is demonstrated. If this part of Organization V cannot demonstrate governance of processes for the service delivered to external customers, it is possible that it can do this for services delivered to internal users.

**What is the scope statement for the supplier Organization V?**

The example scope statement below is relatively simple. It is normally advisable to provide an explicit list of services, rather than just the word "services" as the actual services can change. However, this has been omitted, as the scope statement below is merely an example.

By referring to Customer H it is clear that the scope of the SMS does not include Customer G, Other customers or the internal users.

The example scope statement implies all locations are included because it includes no references to geography or location. If this is not correct, explicit references to locations should be included. If the service provider staff are located at many locations, it can be advisable to refer to "all locations".

EXAMPLE

An example scope statement for Organization V could be:

The SMS that supports the provision of all IT services to Customer H by Organization V.

## B.7 Scenario 6

Figure B.7 shows a more complex supply chain scenario. The service provider that is part of Organization W can fulfil the requirements for only some of the processes in ISO/IEC 20000-1 for its external customers, Customers K, L and M.

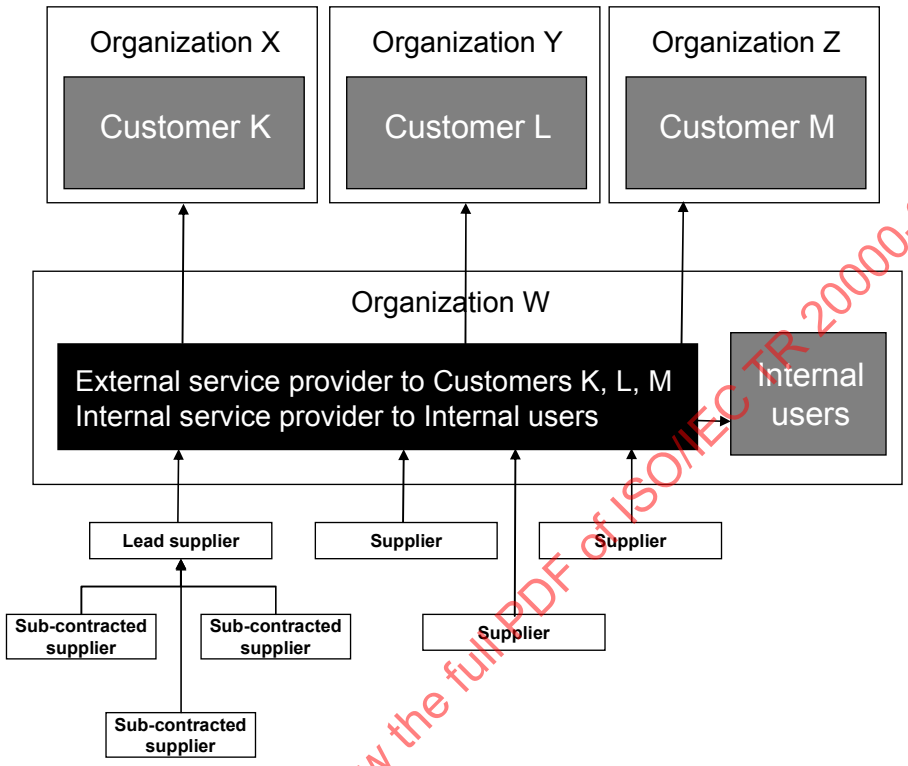



**Figure B.7 — Scenario 6**

**Can the service provider agree a scope that allows demonstration of conformity to ISO/IEC 20000-1?**

No, not if the scope of service management and the scope statement relate only to the services provided to external customers. If the service provider's own internal services are supported by the full range of processes in ISO/IEC 20000-1 then the service provider can define a valid scope for its SMS as an internal service provider, but the scope statement needs to make it clear that this is based only on internal services.

This scenario can occur where the service provider provides external customers with highly specialised services or, possibly, where the service provider is only part-way through a service improvement programme and has opted to make improvements to services for internal customers, before implementing the improvements for external customers.

The service provider can have poor alignment between the services agreed with customers and the services agreed with suppliers. This usually needs to be checked and corrected early in the planned improvements.

Organization W can be eligible for certification, if it can demonstrate that it has an SMS to support all customers within scope.

**What is the scope statement for the service provider when acting as an internal service provider to Organization W?**

EXAMPLE

If all processes are operated across the internal users, the scope can be:

The SMS that supports the provision of all IT services to the internal users by Organization W.