YaSM® - ISO 20000 Bridge

Introduction to ISO 20000 and the YaSM® - ISO 20000 Bridge

YaSM®

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What is ISO 20000?

ISO/IEC 20000:2011 (abbreviated to ISO 20000 in this document) is an international standard for service management.

Initiated by the two organizations itSMF and BSI (British Standards Institution), ISO 20000 is modeled upon established service management best practice, especially ITIL®[1]. It allows service provider organizations to have their service management certified and thus to prove that they are customer-oriented, efficient and effective suppliers of services.

ISO 20000 promotes the adoption of a "service management system (SMS)", a "management system to direct and control the service management activities of the service provider". Key components of the SMS are a set of service management policies and service management processes.

Since ISO 20000 has some of its roots in the ISO management standard ISO 9001:2000, a generic standard for quality management systems, organizations which are already certified against ISO 9001 will find it easier to achieve certification against ISO 20000.

Organizations seeking to become certified must fulfill a set of requirements, as outlined in ISO/IEC 20000:2011, Part 1: Service management system requirements - these are the mandatory requirements which must be fulfilled in order to be compliant with the standard.

Additional parts of the standard provide guidelines which are not strictly mandatory, for example

— ISO/IEC 20000:2012, Part 2: Guidance on the application of service management systems (SMS) contains examples and suggestions for the design of service management processes.
— ISO/IEC 20000:2012, Part 3: Guidance on scope definition and applicability of ISO/IEC 20000-1 provides guidance on scope definition, applicability and demonstration of conformity.
— ISO/IEC TR 20000:2010, Part 4: Process reference model.

[1] ITIL® is a registered trade mark of AXELOS Limited. - IT Infrastructure Library® is a registered trade mark of AXELOS Limited.

— ISO/IEC TR 20000:2010, Part 5: Exemplar implementation plan for ISO/IEC 20000-1.

The new edition of ISO/IEC 20000:2011

A new version of ISO/IEC 20000 Part 1: Service management system requirements (abbreviated to ISO/IEC 20000-1:2011) was published in April 2011.

The authors of the new version describe the main differences to the earlier edition ISO/IEC 20000-1:2005 as follows:

— Closer alignment to both ISO 9001 and ISO/IEC 27001
— Clarification of existing definitions and addition of new definitions
— Introduction of the term "Service Management System (SMS)" and alignment of the standard with the concept of a SMS
— Clarification of the requirements for the governance of processes operated by other parties
— Addition of requirements for the design and transition of new or changed services.

The new version contains considerably more text than the previous one, but it does not provide detailed indications of what was added or changed. Overall, most experts seem to agree that many clarifications have found their way into the new edition, and that it has not necessarily become more difficult to achieve ISO 20000 certification.

Transition arrangements for ISO/IEC 20000-1:2005 to 2011

Under certain circumstances, the 2005 version of the ISO 20000 standard can still be used for a transitional period, so that organizations and trained individuals can adapt to the new edition.

The APM Group, which owns and operates the ISO/IEC 20000 certification and qualification scheme formerly owned by itSMF UK[2], states that

[2] The scheme operated by APMG (The APM Group Limited) is one of several available schemes, typically handled by local standardization bodies. Not all schemes are recognized by all national accreditation bodies.

— If your organization has been certified to ISO 20000 before 1st June 2011, audits and re-certifications will be permitted using ISO/IEC 20000-1:2005 until 31st May 2013. ISO/IEC 20000-1:2011 will be mandatory from 1st June 2013.
— If your organization submits a new application to become certified to ISO 20000 after 1st June 2011, ISO/IEC 20000-1:2011 will be applicable.

Benefits of an ISO 20000 certificate

An ISO 20000 certificate is proof that your organization has demonstrated its ability to

— Be aware of customer needs and respond to those needs
— Deliver services which meet defined quality levels
— Make use of resources in an economical way.

As such, the certificate and the corresponding logo are increasingly a competitive advantage in the market. Some clients even demand ISO 20000 compliance as a condition for awarding contracts to service providers.

Of course, working along ISO 20000 principles also offers internal benefits for the organization, because the standard is all about supporting customers with adequate services, while providing those services as efficiently as possible.

The decision to go for an ISO 20000 certificate sets a specific target for an organization and helps to concentrate minds. It is, in other words, a good way to kick-start the adoption of service management best practice and to make sure motivation stays high.

ISO 20000 and YaSM

ISO 20000 does not offer specific advice on how to design the processes of service provider organizations. It is rather a set of requirements which must be met in order to qualify for certification.

This is where YaSM®[3] comes into the picture: YaSM is well aligned with ISO 20000 and offers a tightly focused set of processes, policies

[3] YaSM stands for “Yet another Service Management Model”. YaSM® is a registered trademark of IT Process Maps GbR.

and document templates which provide a solution for every ISO 20000 requirement.

Implementing the YaSM processes is thus a straightforward approach for obtaining ISO 20000 certification. The “YaSM® - ISO 20000 Bridge”, an additional component to the YaSM® Process Map, supports organizations during the preparation for the certification audit: For every single requirement, the “Bridge” explains how particular YaSM processes and documents fulfill the ISO 20000 requirements.

For a first overview of how YaSM and ISO 20000 relate to each other, please refer to the document “YaSM and ISO 20000”, which summarizes in broad terms how the ISO 20000 processes correspond to YaSM processes.

How to go about ISO 20000 Certification

What exactly do we have to achieve to become ISO 20000 compliant?

The most important thing at the start of a major project - such as an ISO 20000 initiative - is to know what exactly must be achieved ("where do we want to be?")

Unfortunately, the standard itself only sets out a number of requirements which must be fulfilled. ISO 20000 stipulates that a number of processes be designed and implemented which meet certain requirements, but it does not describe how this should be done.

As a result, there is often a problem at the start of an ISO 20000 initiative: It is not clear what the working habits of your organization should be like in order to be ISO 20000 compliant, making it hard to determine what you should aim for and how much change is needed.

However, since YaSM and ISO 20000 are aligned, it is possible to turn to YaSM for advice.

The YaSM process model contains a complete set of ISO 20000 compliant process diagrams and checklists. Starting from a list of the standard's 147 requirements, you can open process diagrams and document templates with a mouse-click to see specific suggestions on how those requirements can be fulfilled - the ideal way to quickly understand what exactly it means for your organization to become ISO 20000 compliant.

We do not mean to say, however, that all processes contained in the YaSM® Process Map must be implemented to the letter. Our processes should be seen as one possible approach to implementing ISO 20000, and it is perfectly acceptable to use the original processes as a starting point and adapt them to your needs - as long as you stay in line with the ISO 20000 requirements.

How does an auditor verify that our organization is ISO 20000 compliant?

The aim of the certification audit is to check if your organization fulfils the ISO 20000 requirements. This is done primarily by

— Examining the process documentation
— Are all processes documented?
— Are the processes linked up by consistent information flows?
— Do the processes fulfill the ISO 20000 requirements?
— Conducting interviews with staff
— Do members of staff know and adhere to the documented processes?
— Assessing evidence in the form of documents and records (if the processes are executed correctly, there will be traces in the form of documents and records; for example, the incident resolution process is producing incident records if executed correctly)
— Do the expected documents and records exist?
— Are they adequate to achieve their purpose?

What are the typical steps leading to certification?

Create awareness

Communicate the goals and benefits of ISO 20000 certification and the approach for achieving ISO 20000 compliance; this step should include giving everyone in your organization at least a basic understanding of service management best practice such as YaSM.

Determine the certification scope

Decide what parts of the organization, what services and/ or what locations shall be covered by the certificate.

Conduct an initial assessment

Determine gaps between today's situation and the standard's requirements; this can be done by an external advisor, but there is

also an “IT Service Management Self Assessment Workbook” published by BSI.

The result of this step is a detailed list of the ISO 20000 requirements where compliant and non-compliant areas are identified. For non-compliant areas the list includes the findings on what exactly the shortcomings are and how they can be addressed.

Set up the project

Establish a project board; choose a project manager and project staff.

Determine the necessary resources, prepare a project plan and assign tasks.

Choose an auditor and possibly an experienced external advisor.

Prepare for the certification audit

Close the gaps identified during the initial assessment – this is usually the most time-consuming part of an ISO 20000 initiative, because (depending on the level of compliance found during the initial assessment) a considerable number of processes may need to be modified or introduced.

During preparation for the audit, an inventory of requirements, documents and records helps to keep track of what requirements are already fulfilled and what related evidence (documents and records) is in place. The diagrams of the YaSM® - ISO 20000 Bridge can be used for this purpose.

Conduct the certification audit

Perform the actual certification audit (to be carried out by an accredited external auditor).

Retain certification

After the initial certification, a renewal of the certificate is due every three years, with intermittent assessments every 6 to 12 months.

Make sure that you continue to adhere to the standard and put a strong emphasis on continual service and process improvement.

What are the typical pitfalls?

Too little management support

Top management should understand and communicate why the service provider is seeking certification, and visibly endorse the initiative.

Too little support for the initiative among staff

The advantages of service management best practice should be made clear to everyone in your organization, and it should be explained to individual members of staff where their places will be after the reorganization.

Insufficient resources

Management commitment must be backed up by the provision of sufficient resources for the certification program. This includes making sure that staff assigned to the project are freed from some of their day-to-day tasks.

Should we seek external support?

External support will be necessary at least for the certification audit, as the audit can only be performed by a Registered Certification Body.

In most cases it is also advisable to seek the help of an experienced consultant, who will know what typically attracts the attention of auditors. We would not recommend attempting an ISO 200000 certification without enlisting external support; the point here is to keep consulting expenditures as low as possible.

The YaSM® Process Map was designed with this in mind, as it enables you to acquire a large amount of service management best practice and ISO 20000 knowledge before deciding where external help is needed.

How much does it cost?

Unfortunately, this question is hard to answer.

The formal ISO 20000 audit itself is usually a very small proportion of the total cost that your organization will incur. In most cases, closing the gaps to become ISO 20000 compliant is by far the biggest part of a certification project.

As a result, the total cost depends on conditions such as

- The number of service management processes that are already implemented
- Existing certificates, e.g. ISO 9000
- The size of your organization
- The complexity of your services
- The scope of the service management system to be certified.

Once the certificate is awarded it will be valid for an initial period of three years. This means that regular re-certification audits and intermittent assessments are required, so there are also ongoing costs to be considered.

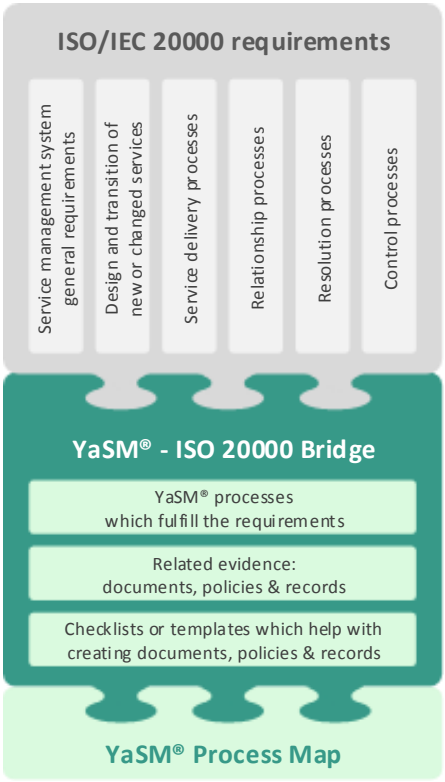
How the YaSM® - ISO 20000 Bridge supports Certification Initiatives

Contents of the YaSM® - ISO 20000 Bridge

The YaSM® - ISO 20000 Bridge is designed to be used in combination with the YaSM® Process Map. For every requirement you will find specific suggestions on how those requirements can be fulfilled - the ideal way to quickly understand what exactly it means for your organization to become ISO 20000 compliant.

A set of 30 diagrams relates the standard's 147 single requirements (Part 1: Service management system requirements - these are the mandatory requirements to be fulfilled) to the YaSM processes and documents/ records. You are thus able to start from the ISO 20000 requirements, and to open compliant process models and checklists with a mouse-click.

In addition, the YaSM® - ISO 20000 Bridge contains the original ISO 20000 document (Part 1: Service management system requirements).



Tasks within an ISO 20000 initiative supported by the YaSM® - ISO 20000 Bridge

Because of its unique combination of ISO 20000 requirements, process models and document templates, the YaSM® - ISO 20000 Bridge supports the following tasks during a typical ISO 20000 initiative:

Understand what exactly it means to be ISO 20000 compliant

Our ISO 20000 compliant process model presents processes and their interactions in an easily understood, graphical way. This makes it possible for you to quickly understand what you have to achieve in order to become ISO 20000 compliant, and to make those requirements visible to everyone in your organization.

Design ISO 20000 compliant processes for your organization

The YaSM® Process Map and the YaSM® - ISO 20000 Bridge provide you with a detailed list of all ISO 20000 requirements and how they are fulfilled by the various YaSM processes.

Next to the 147 requirements are links to process diagrams, so for every single requirement there are specific suggestions for compliant processes. You can start with our suggestions and modify the process diagrams until they match the needs of your organization.

Design ISO 20000 compliant documents and records

The checklists (document templates) included in the YaSM® Process Map are the perfect starting point for designing ISO 20000 compliant documents and records. Your auditor will look for those documents to verify if the processes are adhered to (for example, the auditor will look at your service agreements to check if the documented customer relationship process is being executed).

Create high-quality process documentation

Typically your auditor will start by assessing your process documentation, which is required to document your processes in full, to be coherent and to show information flows between the processes. Our process templates were designed with this in mind, and if you stick to our way of visualizing the processes you are sure to create high-quality process documentation that is able to stand up to your auditor's scrutiny.

At the same time you will save a lot of time and effort during process documentation, as modifying existing process templates is a lot faster and easier than starting with a blank page.

Make sure all members of staff have a basic understanding of the defined processes

Your auditor will check if staff are familiar with the documented processes. Once again, the graphical representation of the processes helps to ensure staff do not only know their immediate responsibilities, but also understand how their activities fit into the bigger service management picture.

Keep track of progress during the certification program

The detailed list of requirements presented in the YaSM® - ISO 20000 Bridge can also be used as a project dash-board - a tick-list where all requirements which are already fulfilled can be checked off. You are ready for the certification audit when no non-compliant requirements are left.

Legend: Diagram Components of the YaSM® - ISO 20000 Bridge

Color-coding

The **circles next to the require-ments** can be used for color-coding: Green circles might, for example, indicate the requirements which are already fulfilled.

You are ready for the certification audit once all circles are green.

Requirements

The **"Requirements"** column contains all 147 ISO 20000:2011 requirements as an exact copy of the original standard (Part 1: Service management system requirements).

Processes

The **"Processes"** column states for each requirement which process(es) from the YaSM® Process Map - when implemented - fulfill the ISO 20000 requirement.

A mouse-click takes you right into the process diagrams of the YaSM® Process Map where you can see what an ISO-20000-compatible process should be like:

Documents and records

The **"Documents and records"** column states which information items (typically, documents or records) can be used to demonstrate compliance with a require-ment. Your certifier will look for those documents and records as evidence that a certain process is actually in use.

The shapes are linked with checklists – documents which explain in more detail what your documents and records should be like.

The checklists of the YaSM® Process Map can be opened with a mouse-click:

Comments

The **"Comments"** column contains notes on how the YaSM® processes and information objects relate to a requirement.

You can also use it to insert your own comments - for example further explanations on how a specific requirement is fulfilled.

	Mandatory ISO/IEC 20000:2011 requirements	Processes which fulfill the requirements	Related evidence (documents and records)	Comments
●	The success or failure of releases shall be monitored and analysed. Measurements shall include incidents related to a release in the period following deployment of a release. Analysis shall include assessment of the impact of the release on the customer. The results and conclusions drawn from the analysis shall be recorded and reviewed to identify opportunities for improvement.	Design new or changed services Manage customer relationships	Service definition Customer service agreement	Service capacity and performance requirements are specified in the service definitions attached to customer service agreements.
○	Information about the success or failure of releases and future release dates shall be provided to the change management process, and incident and service request management process.	Improve the services Assess and coordinate changes	Service improvement plan - SIP Change record	YaSM does not stipulate a capacity plan but recommends managing service capacity up-grades like any other service improvements through the service improvement plans. Service improvement initiatives need to be approved through the budgeting process and typically entail RFCs to be submitted to the change assessment process.

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