

Introduction: ISO 20000 and the ITIL - ISO 20000 Bridge

IT Process Maps

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IT Process Know-How
out of a Box

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ISO 20000 and ITIL - a brief Comparison

What is ISO 20000?

ITIL provides guidance on what should be done in order to offer users adequate IT Services to support their business processes. ITIL certifications are available for individuals but until recently there was no way for an IT organization to prove that it is working along the ITIL recommendations.

The ISO 20000 standard was conceived to fill this gap. Initiated by the two organizations itSMF and BSI (British Standard Institute), it is modeled upon the principles of ITIL and for the first time offers IT organizations the possibility to have their IT Service Management certified.

Organizations seeking to become certified against ISO 20000 must fulfill certain requirements, as outlined in ISO/IEC 20000, Part 1: Specification – these are the mandatory requirements which must be fulfilled by organizations in order to be compliant with the standard.

There is also a second part of the standard (ISO/IEC 20000, Part 2: Code of practice), which contains suggestions for organizations who want to become certified. The guidelines of the second part are not strictly mandatory.

In a nutshell, the two central requirements of the ISO 20000 standard are as follows:

- Use of a management approach according to the ISO management standard ISO 9001:2000, based upon the principles of Business Process Management and aimed at continuous quality improvement
- Alignment of the IT processes with the requirements of the ISO 20000 standard, which broadly corresponds to ITIL Best Practice

Benefits of an ISO 20000 Certificate

An ISO 20000 certificate is proof that your IT organization is

- customer-focused
- able to deliver services which meet defined quality levels
- making use of resources in an economical way

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

Of course, working along ISO 20000 (and ITIL) principles also offers internal benefits for the IT organization, because the standard is all about supporting the business side with adequate IT services, while providing those services as efficiently as possible.

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

ISO 20000 and ITIL

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

This is where ITIL comes into play: ITIL (especially the new version 3) is strongly aligned with ISO 20000 and it offers a rather detailed collection of best practices – which are a good basis for designing ISO 20000 compliant processes.

Introducing ITIL is therefore the best way to prepare an organization for ISO 20000 certification.

The table on the following page summarizes in broad terms how the main ISO 20000 processes are related to ITIL V3 (the “ITIL - ISO 20000 Bridge” presents those relationships in much greater detail, for every single ISO 20000 requirement).

ISO 20000 Requirements and their Fulfillment by the ITIL Processes

(a Summary in broad Terms)

ISO 20000 Requirements		Related ITIL Processes
5	Planning and Implementing New or Changed Services	Requirements are fulfilled by the ITIL processes "Service Strategy" and "Service Level Management"
6	Service Delivery	
6.1	Service Level Management	Requirements are fulfilled by the ITIL process "Service Level Management"
6.2	Service Reporting	Requirements are fulfilled by the ITIL process "Service Level Management"
6.3	Service Continuity and Availability Management	Requirements are fulfilled by the ITIL processes "IT Service Continuity Management" and "Availability Management"
6.4	Budgeting and Accounting for IT Services	Requirements are fulfilled by the ITIL process "Financial Management" (optional, i.e. non-obligatory component of the ISO 20000 standard)
6.5	Capacity Management	Requirements are fulfilled by the ITIL process "Capacity Management"
6.6	Information Security Management	Requirements are fulfilled by the ITIL process "IT Security Management"
7	Relationship Processes	
7.2	Business Relationship Management	Requirements are fulfilled by various ITIL processes: "Service Portfolio Management", "Service Level Management"; and "Continual Service Improvement"
7.3	Supplier Management	Requirements are fulfilled by the ITIL process "Supplier Management"
8	Resolution	
8.2	Incident Management	Requirements are fulfilled by the ITIL process "Incident Management"
8.3	Problem Management	Requirements are fulfilled by the ITIL process "Problem Management"
9	Control	
9.1	Configuration Management	Requirements are fulfilled by the ITIL process "Service Asset and Configuration and Asset Management"
9.2	Change Management	Requirements are fulfilled by the ITIL process "Change Management"
10	Release	
10.1	Release Management	Requirements are fulfilled by the ITIL process "Release and Deployment Management"

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 big project - like 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 tells you to design and implement a set of processes which meet certain requirements, but it does not describe how this should be done. So there is no short answer to the question "what exactly must be achieved?".

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 IT 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 ITIL and ISO 20000 are aligned, it is possible to turn to ITIL for advice.

ITIL knowledge is available in the form of books, but the ITIL Process Map together with the ITIL - ISO 20000 Bridge provides you with a better alternative: Our ITIL process model contains a complete set of ISO 20000 compliant process diagrams and checklists. Starting from a list of the standard's 173 single requirements, you can jump right into process diagrams and document templates to see specific suggestions on how those requirements can be fulfilled - the ideal way to quickly understand what exactly it means for your IT organization to become ISO 20000 compliant.

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

How does an Auditor verify that our IT 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 the processes documented?
 - are the processes linked by consistent information flows?
 - do the processes fulfill the ISO 20000 requirements?
- conducting interviews with IT staff
 - do members of IT staff know and adhere to the documented processes?
- looking at evidence in the form of documents and records (if the processes are executed correctly, there are traces in the form of documents and records; e.g. the Incident Management process is producing Incident Records if executed correctly)
 - are the expected documents and records existing?
 - are they adequate for their purposes?

What are the typical Steps leading to Certification?

- **Create awareness:**
Communicate the goals and benefits of the ISO 20000 certification and the approach for achieving ISO 20000 compliance; this step should include giving everyone in your IT organization at least a basic understanding of ITIL.
- **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 conformant and non-conformant

areas are identified. For non-conformant 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 a certifier and experienced external advisor.

— **Prepare for the certification audit:**

Close the gaps identified during the initial assessment – 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.

To help you with this task, the ITIL - ISO 20000 Bridge contains a pre-configured inventory which you can use to monitor your progress towards ISO 20000 compliance.

— **Conduct the certification audit:**

Perform the actual certification audit (to be carried out by an external certifier)

— **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?

— **No management support:**

Management must understand and communicate why the service provider is seeking certification, and visibly endorse the initiative

— **No support for the initiative among IT staff:**

The advantages of Best Practice should be made clear to everyone in your IT organization, and it should be

explained to IT 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. So while we would not recommend attempting an ISO 20000 certification without external expertise, the point here is to keep consulting expenditures as low as possible.

The ITIL Process Map was designed with this in mind, as it enables you to acquire a large amount of ITIL 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 heavily depends on

- the number of ITIL processes that are already implemented
- existing certificates, like e.g. ISO 9000
- the size of your IT organization
- the complexity of your services

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 ITIL - ISO 20000 Bridge supports Certification Initiatives

Contents of the ITIL - ISO 20000 Bridge

The ITIL - ISO 20000 Bridge contains the original ISO 20000 documents, plus a set of diagrams which relate the ISO 20000 requirements¹ (Part 1: Specification) to the ITIL processes and documents/ records.

In combination with the ITIL Process Map V3, you are able to start from the standard's 173 single requirements, and to see what related process diagrams and document templates are provided by the ITIL Process Map.

In other words, 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 IT organization to become ISO 20000 compliant.

Tasks within an ISO 20000 Initiative supported by the ITIL - ISO 20000 Bridge

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

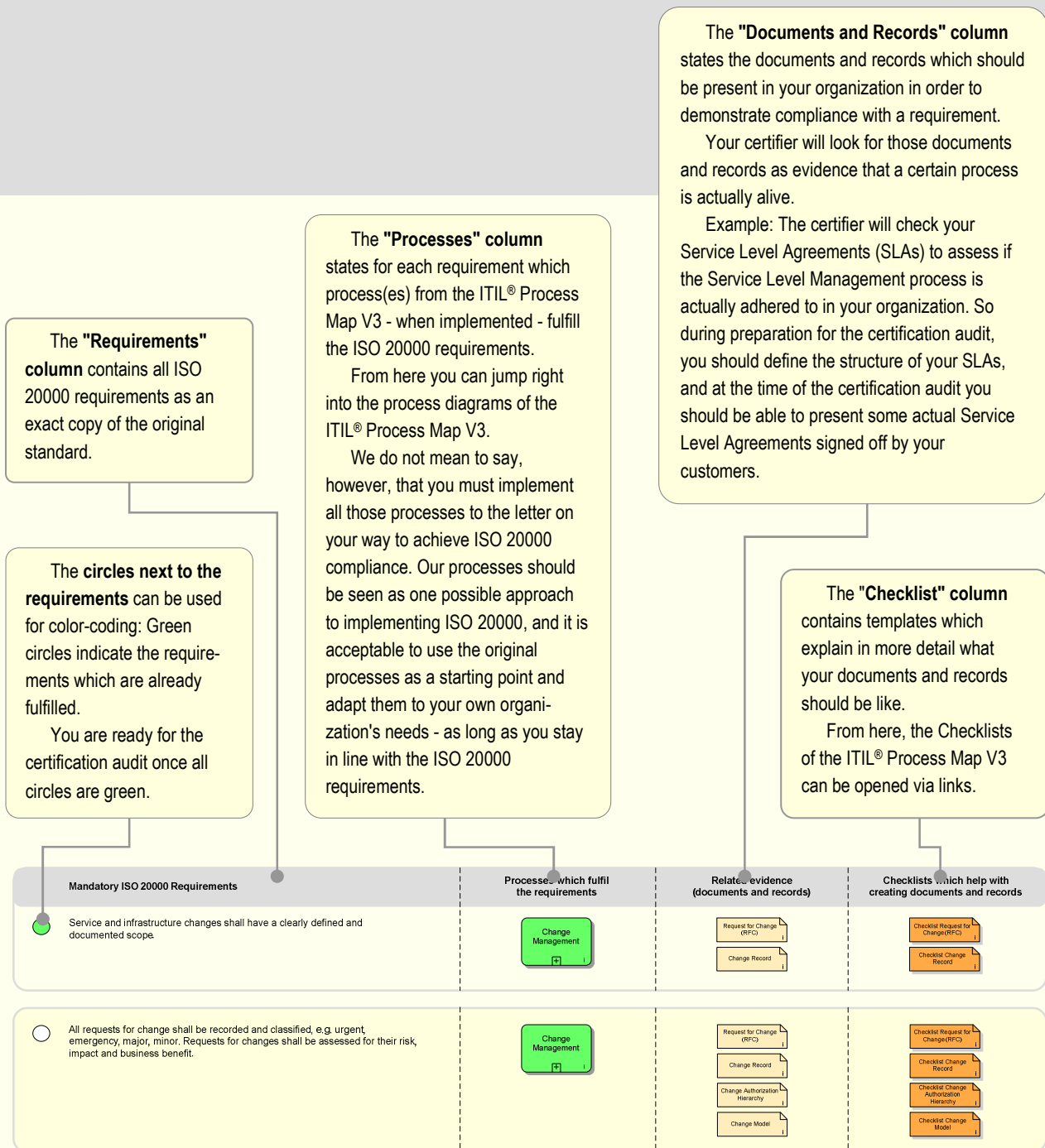
- **Understand what exactly it means to be ISO 20000 compliant:**
Our ISO 20000 compliant process model presents processes and their interactions in an easily understandable graphical way, and it allows you to drill down if you are interested in details. This makes it possible for you to quickly understand 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 ITIL Process Map, together with the "ITIL/ ISO 20000 Bridge" add-on, provides you with a detailed list of all the ISO 20000 requirements and how they are fulfilled by the various ITIL processes.

Next to the 173 requirements are links to process diagrams, so for every single requirement you can instantly see a specific suggestion for a compliant process. 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 set of 82 checklists (document templates) included in the ITIL Process Map are the perfect starting point for designing ISO 20000 compliant documents and records. Your auditor will look at those documents to verify if the processes are adhered to (e.g. he will look at your Service Level Agreements to check if the Service Management process is actually alive).
- **Create a high-quality process documentation:**
Typically your auditor will start by assessing your process documentation, which is not only required to document your processes in full, but also 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 a 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 you modify existing process templates - rather than starting with a blank page.
- **Make sure all IT staff have a basic understanding of the processes:**
Your auditor will check if IT staff are familiar with the documented processes. Once again, the graphical representation of the processes helps to make sure that IT 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 can also be used as a project dash-board - a tick-list where all conformant and non-conformant areas are marked. You are ready for the certification audit when no non-conformant areas are left.

¹ The contents of the ISO 20000 standard are reproduced with the permission of DIN Deutsches Institut für Normung e. V.

Legend: Diagram Components of the ITIL - ISO 20000 Bridge



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