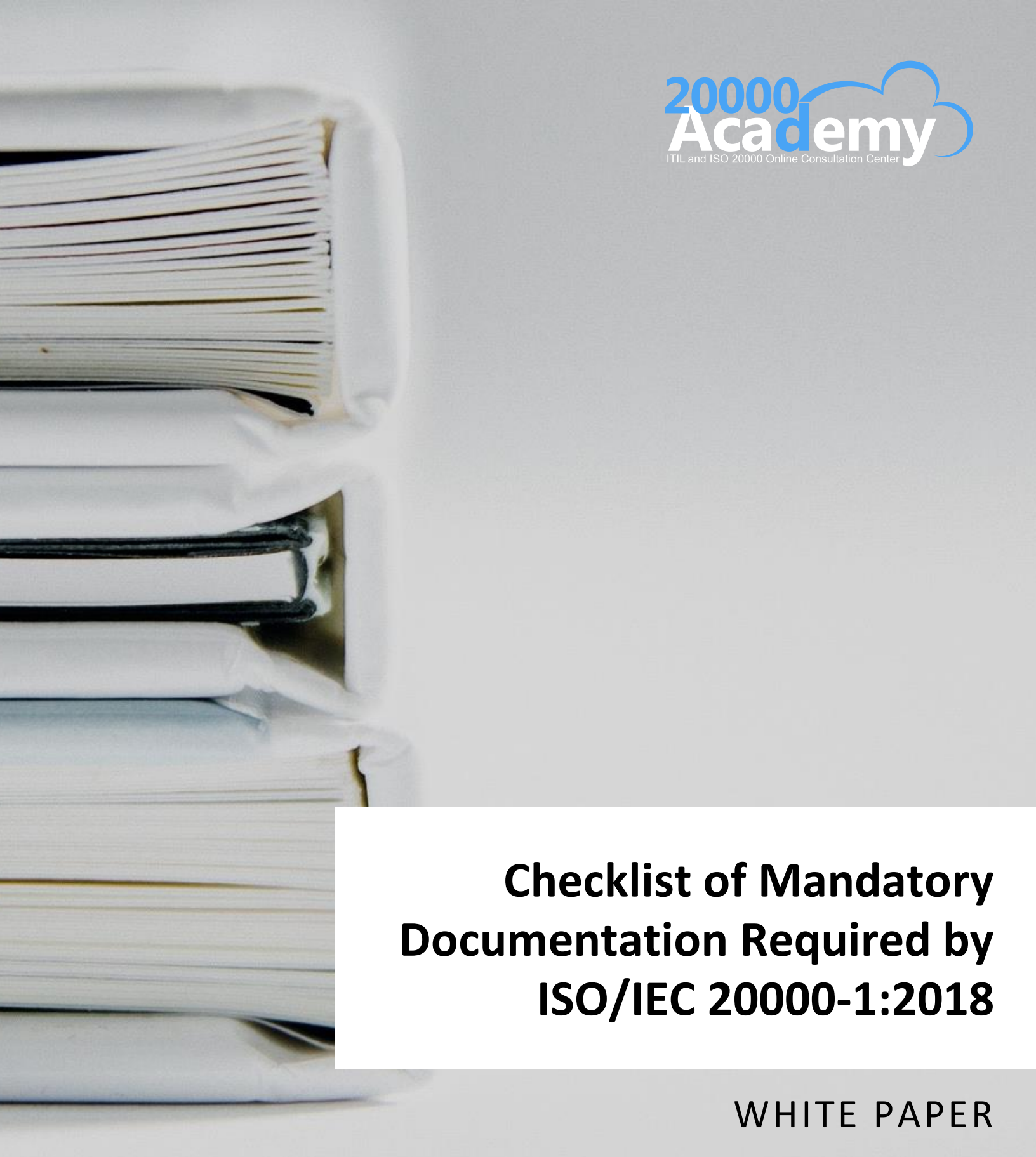

20000 Academy
ITIL and ISO 20000 Online Consultation Center

Checklist of Mandatory Documentation Required by ISO/IEC 20000-1:2018

WHITE PAPER

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Executive summary

Aspiration for excellence while delivering IT services is the goal of every competitive IT organization in today's business world. ISO 20000 provides an excellent framework to achieve exactly that. It describes a set of requirements your organization must fulfill to implement a management system that will help you introduce a managed IT service management (ITSM) environment. This white paper is designed to help top management and employees involved in ISO 20000-based Service Management System (SMS) implementation and to clear up any misunderstandings regarding documents required by the standard.

In this document, you will find an explanation of which documents are mandatory according to the ISO 20000 standard, and which non-mandatory documents are commonly used in the SMS implementation, in the same order and numbered clauses as in ISO 20000. In addition, you will see links to additional learning materials.

Introduction

While trying to fulfill standard requirements, organizations tend to generate too many documents to be on the "safe side." This is counterproductive, because it makes the implemented processes and respective SMS hard to use and maintain, as well as making the SMS a bureaucratic burden. While taking such approach, organizations are missing a chance to improve their ITSM for their own benefit, as well as that of their customers.

In this white paper you will find, explained in plain English, what the minimum ISO 20000 requirements for the documentation are, as well as a list of documents that are commonly in place and can help you make your SMS more efficient.

Which documents and records are required?

To comply with ISO 20000, the standard requires documented information for an organization's SMS. This documented information may come in the form of policies, plans, processes, results, or records, among other types of written formats. However, depending on the size and complexity of an organization, the extent of the documented information for the SMS may vary.

Mandatory documents

Mandatory Documents	ISO 20000 Clause
Scope of the Service Management System (SMS)	4.3
Service Management Policy and Objectives	5.2, 6.2
Risks, impact, opportunities, and risk acceptance criteria for the SMS and other services	6.1.2
Service Management Plan	6.3
Change Management Policy	7.5.4.d, 8.5.1.1
Information Security Policy	7.5.4.d, 8.7.3.1
Service Continuity Plan(s)	7.5.4, 8.7.2
Processes of the organization's SMS	7.5.4.e
Service requirements	7.5.4.f, 8.2.2, 8.3.3
Service Catalogue(s)	7.5.4.g, 8.2.4
Service Level Agreement(s)	7.5.4.h, 8.3.3
Contract(s) with external suppliers	7.5.4.i. 8.3.4.1
Agreements with internal supplier(s) or customers acting as a supplier	7.5.4.j, 8.3.4.2
Services that are provided or operated by other parties	8.2.3.1.a

Mandatory Documents	ISO 20000 Clause
Service components that are provided or operated by other parties	8.2.3.1.b
Processes, or parts of processes, in the organization's SMS that are operated by other parties	8.2.3.1.c
Business Relationship Management	8.3.2
Release Acceptance Criteria	8.5.3
Risks for service availability, service continuity and information security	8.7.1, 8.7.2, 8.7.3.2
Procedure for Classifying and Managing a Major Incident	8.6.1
Procedure for Continuing Operations in the Event of a Major Loss of Service	8.7.2.b
Procedure for Restoring Normal Working Conditions after Service Disruption	8.7.2.e
Capacity requirements	8.4.3
Design of new or changed services	8.5.2.2
Service availability requirements and targets	8.7.1

Mandatory records

Mandatory Records	ISO 20000 Clause
Documented proof of competence	7.2
Results of service availability monitoring	8.7.1
Configuration information	8.2.6
Records of any service complaints	8.3.2
Records of any disputes between the organization and external suppliers	8.3.4.1
Request for change	8.5.1.2
Incidents	8.6.1
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Information security incidents	8.7.3.3
Monitoring and measurement results	9.1
Internal audit program	9.2
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Results of corrective actions	10.1
Opportunities for improvement	10.2

These are the documents and records that are required to be maintained for the ISO 20000 Service Management System, but you should also maintain any other records that you have identified as necessary to ensure that your management system can function, be maintained, and improve over time.

The number of documents can vary, because several documents can be combined into one. Furthermore, the number of documents considered necessary for the effectiveness of the SMS may vary from one organization to another due to various factors such as size, activities, processes, services, or complexity.

Records can be recorded as documents, but also as records in the scope of the ITSM tool.

Commonly used non-mandatory documents

Documents	ISO 20000 Clause
Procedure for Determining Context of the Organization and Interested Parties	4.1, 4.2
Recorded risks and procedures for addressing them and opportunities	6.1
Procedure for Competence, Training, and Awareness	7.1.2, 7.2, 7.3
Procedure for Document and Record Control	7.5
Procedure for Management of Nonconformities and Corrective Actions	10.1
Procedure for Monitoring Customer Satisfaction	8.3.2
Procedure for Internal Audit	9.2
Procedure for Management Review	9.3

How to structure documents and records

Scope of the Service Management System (SMS)

The scope of the SMS defines the boundaries of the organization's SMS, i.e., where the SMS is applicable. In this document, the services in scope and the names of the organizations that manage and deliver them are identified.

Find out more in this article: Service Management System Scope (ISO 20000)

Service Management Policy and Objectives

The SMS Policy is usually a short, top-level document describing the purpose of the SMS. In this document, you should define the purpose, direction, principles, and basic rules for IT Service Management in your organization. Ensure that the established service management objectives are consistent with your policy, measurable, align with applicable requirements, monitored, communicated to interested parties, and updated as needed on a regular basis.

Find out more in the article: SMS Policy – How to create it according to ISO 20000.

Risk Assessment and Management for the SMS

This document is used to identify and assess the risks related to the SMS. It also defines the approach to be taken for the management of risks.

Service Management Plan

This is the main document where you will define how the SMS will be established. The aim of this document is to define the objectives, requirements, responsibilities, and resources needed to run the services. Although the standard's requirements regarding the SMS Plan are extensive, this document is usually four to five pages long and references to other stand-alone documents.

Change Management Policy

The Change Management Policy is a mandatory document according to the standard, and it should define the service components and other items that are under the control of change management, as well as the different categories of change and how they are to be managed. Additionally, this document includes the criteria to determine the potential impact of changes on customers and services. The purpose of this policy is to ensure that changes by the organization are managed through an established process.

Find out more in these articles:

- 5 benefits of ITIL® Change Management implementation
- How to manage Emergency Changes as part of ITIL® Change Management
- ITIL Change Management – at the heart of Service Management

Information Security Policy

This is the main document for information security relevant to the organization and the service it provides. It is usually written as a high-level, stand-alone document. When writing the policy, ensure that the service requirements and obligations applicable to the SMS are taken into consideration.

Service Continuity Plan(s)

After service continuity requirements are determined, a detailed plan (or set of plans) should be created, implemented, maintained, and tested at planned intervals. The plan(s) should include a detailed description of how to achieve the agreed service continuity.

Processes of the Organization's SMS

As defined in ISO 20000, a set of interrelated or interacting activities that take inputs to deliver an intended result is considered a process. Depending on the size and complexity of the organization, the number and type of processes that support the SMS may vary. Nevertheless, to comply with the standard, these processes must be recorded, maintained, and continually improved.

Service Requirements

This is the document where all requirements for a particular service should be documented. This document is relevant for the service throughout its lifecycle. Therefore, the Service Requirements document should capture all details of the service in order to build, test, deploy, maintain, and improve the service. It can be in the form of a document or a spreadsheet.

Find out more in the article: Service Level Requirement (SLR) as origin of the SLA content.

Service Catalogue(s)

The Service Catalogue lists all the services in one place – this includes customer-facing as well as internal services. Customer-facing services optimize both customer experience and user experience viewpoints and are written in business language (understandable by the customer, i.e., user). Internal-facing services (or supporting services) use more technical vocabulary. One of the approaches could be to create a spreadsheet to easily define dependencies between services and service components.

For more details about service catalogues, see the following articles:

- How to overcome barriers while implementing the Service Catalogue according to ITIL®
- Choosing four main inputs for the ITIL®/ISO 20000 Service Catalogue to avoid bureaucracy
- Service Catalogue – Defining the service
- Service Catalogue – a window to the world

Service Level Agreement(s)

This document defines the relationship between the IT service provider and the customer. It defines all relevant parameters to manage service delivery according to the customer's requirements. This document contains common legal parameters typical for legally binding documents and, in agreement with the customer, it contains measurable service level parameters.

Read more about the Service Level Agreement here:

- What's the content of an ITIL®/ISO 20000 SLA?
- ITIL® – Service Level Agreements: Designing frameworks

Contract(s) with External Suppliers

A documented contract for each external supplier is a requirement of the standard. This contract is the basis for a service provider to define its relationship with its supplier. From the contract's content, responsibilities of both parties should be clear. Because it is a legally binding document, the contract must include or contain reference scope of services, service requirements, service level targets, authorities/responsibilities, and other contractual obligations. Furthermore, there should be designated individuals in the organization responsible for managing external supplier relationships, contracts, disputes, and performance.

Agreements with Internal Supplier(s) or Customers Acting as a Supplier

This documented agreement defines service level targets, commitments, activities, and communications for each internal supplier or customer acting as a supplier to the organization. For example, this can be accomplished through a formal documented agreement between internal departments, or through an internal ticketing system, in which the ticket serves as an "agreement" between internal business units.

Services, service components, processes, or parts of processes in the organization's SMS that are provided or operated by other parties (8.2.3.1.a-c)

Organizations are accountable for the requirements related to the delivery of their SMS regardless of whether an external party is involved in operating the service or component. Therefore, the requirements for the services, service components, processes, or parts of processes in the organization's SMS provided or operated by other parties must be identified and documented, to facilitate organizational control.

Business Relationship Management

The purpose of this document is to identify and record the customers, users, and other interested parties of the organization's services. This record should define business relationship management activities such as customer communication arrangements, service performance review process, and customer satisfaction measurement process. Additionally, organizations should designate an individual(s) responsible for managing customer relationships and ensuring that customer satisfaction is maintained.

Read more here:

- Taking care of relationships with ISO 20000
- Business Relationship Management, Service Level Management… Too much management?

Release Acceptance Criteria

The aim of this stand-alone document is to support the organization's release and deployment management process. Documented acceptance criteria shall be established to verify and approve a release before deployment to the live environment.

Learn more in these articles:

- ITIL® Release and Deployment Management Part I – General principles and service testing
- ITIL® Release and Deployment Management Part 2 – deployment methods and early life support

Risks for Service Availability, Service Continuity, and Information Security

The purpose of this document is to enable the identification and assessment of risks to service availability, service continuity, and information security to the SMS. Depending on the needs of the organization and the available resources, a risk management application can be used, or written in a table (spreadsheet) form.

Procedure for Classifying and Managing a Major Incident

Organizations must effectively manage incidents by establishing standardized procedures for recording, classifying, prioritizing, escalating, resolving, and closing incidents. This is even more important when it comes to identifying major incidents.

An incident is considered as an unplanned interruption or reduction in the quality of a service. A major incident is considered as a highest-impact, highest-urgency incident, which impacts a large number of users, depriving the business of one or more crucial services.

It is extremely important for interested parties within the organization to agree on what constitutes a major incident. Therefore, recorded procedures for classifying and managing major incidents must be established by the organization. This includes procedures for assigning responsibility, reporting to top management, and conducting reviews to identify opportunities for improvement.

Read more in the article: Major Incident Management – when the going gets tough…

Procedure for Continuing Operations in the Event of a Major Loss of Service

Continuing operations in a timely and efficient manner requires documented procedures to be implemented and available on how to respond to a major loss of service event.

Read more in the article: IT Service Continuity Management – waiting for the big one

Procedure for Restoring Normal Working Conditions after Service Disruption

This document contains specific actions that should be taken for returning to normal working conditions after a service interruption incident.

Capacity Requirements

This is the document where all capacity requirements for human, technical, information, and financial resources are listed and maintained. The aim of this document is to plan the capacity of resources needed to deliver services, analyze data, and define a long-term approach to satisfy capacity requirements.

Learn more about the Capacity Plan in the article: ITIL® Capacity Plan – A document you need, but probably do not have.

Design of New or Changed Services

These process descriptions are a cornerstone of a new or changed service that needs to be implemented. Therefore, all necessary details related to planning, design, and transition to a new service should be included.

Read more here: Design and transition of new or changed services in ISO 20000.

Service Availability Requirements and Targets

This document defines the purpose, scope, principles, and activities of the IT availability management process, and it is applied to the entire SMS. When creating this document, relevant requirements related to the business, services, SLAs, and risks should be taken into consideration.

Read more about the service continuity and availability management process in these articles:

- IT Service Continuity Management – waiting for the big one
- Availability Management – calculating for improvement

Records of Training, Skills, Experience, and Qualifications

This is the document that will help you track the training, education, achieved skills, and experience of personnel within the organization. These records show that the necessary competence level is being achieved and provide a tool to evaluate the effectiveness of the training program.

Read this article to learn more: How to perform ISO 20000 training and awareness.

Results of Service Availability Monitoring

Availability monitoring gives a clear picture of what was defined in the Availability Plan for a particular service. The goals for documenting results are to plan availability measurement activities and calculate availability-related data. This can be done in spreadsheet form and should contain measurement and report data.

This template will help you implement the ISO 20000 requirements: Availability Measurement Report

Configuration Information

This record defines the configuration information (CI) in the organization. The recorded CI should be at a level of detail appropriate for the type and criticality of the service.

If you are not using an ITSM tool, then using a spreadsheet can help you to record the required and most important parameters of CIs in one place.

Learn more here: Knowing your herd – Service Asset and Configuration Management (SACM).

Records of service complaints

Customers are receiving value through the services delivered. If value is not received according to customer expectations, they will complain. Therefore, an official communication channel for customer complaints should exist. This record should contain information about the affected service, business impact, actions performed (because of the complaint), and related responsibilities.

Find out more in the article: ITIL® Customer satisfaction – Design driven by outcomes.

Records of Disputes Between the Organization and External Suppliers

The aim of this record is to record all the disputes with external suppliers and provide a brief overview of the dispute and its resolution.

Request for Change

Once you have change management policies and procedures established, you should define change request records. The Request for Change contains all details needed to classify, assess, evaluate, and approve the change. Additionally, the record provides an overview of all changes to plan implementation, create reports, and use knowledge for closed changes.

Read this article to get more details: ITIL®/ISO 20000 Request for Change – Your steering wheel throughout the change lifecycle.

Incidents

The purpose of this record is to enable recording of all incidents throughout their lifecycles to be able to manage them.

Service Requests

Just like for incidents, service requests need to be recorded, classified, prioritized, fulfilled, and closed. Records should also include any actions taken to fulfill the request. Additionally, instructions on service request fulfillment should be made available to personnel involved in the process.

Problems

A defined problem management process is necessary to identify the activities, roles, and responsibilities needed to resolve problems. A problems record should be established where all information relevant for a particular problem is documented. If you do not use an ITSM tool, you can create a spreadsheet-based document that will fulfill the standard's requirements and record other relevant information.

Read more in these articles:

- How to resolve the problem ticket/record according to ITIL®/ISO 20000
- How to avoid unsatisfied customers by managing problems and incidents according to ISO 20000
- ITIL® and ISO 20000 Problem Management – Organizing for problem resolution
- ITIL® Reactive and Proactive Problem Management: Two sides of the same coin

Known Errors

To improve the organization's learning and improve ITSM performance, knowledge related to resolved incidents and problems needs to be documented. This document should enable the recording of all relevant information that will help lead to faster incident and problem solving.

Learn more in the article: Known Errors – repetitio est mater studiorum? Not in this case.

Test Results of Service Continuity Plan(s)

Service Continuity Plans need to be tested regularly. As proof of performed test activities, you should create a report that contains a testing description, testing results, and reporting.

Information Security Incidents

This record is used to document, classify, prioritize, and analyze information security incidents to manage them effectively throughout the process of getting them resolved and closed.

Monitoring and Measurement Results

To evaluate the performance of an SMS, results from monitoring and measurement must be documented and maintained. Various parameters should be measured to give a clear overview of SMS performance against service management objectives.

Internal Audit Program

Internal audits should be planned. This document provides a timetable of internal audits, auditor names, scope, objectives, etc. To maintain a clear overview, it is advisable to create a program in table form.

Learn more about the audit checklist (needed for an audit) in the article: How to create an ISO 20000 internal audit checklist.

Results of Internal Audits

Once the internal audit is finished, findings must be documented and reported. An internal audit report documents the audit trail, results, nonconformities, and recommendations for improvements.

Results of the Management Review

This is usually in the form of minutes of the management review meeting and needs to include all the materials that were involved at the management meeting, as well as all the decisions that were made. The minutes can be in paper or digital form.

Read the article: What should be on the SMS management review agenda according to ISO 20000? to learn more.

Results of Corrective Actions

This is the document that will help you track activities related to the results of any corrective actions for a non-conformity. It should be a simple, one-page document, which includes a description of the non-conformity, its cause, actions to taken, and verification method of the corrective action.

Opportunities for Improvement

ISO 20000 requires an organization to continuously improve their SMS. Opportunities for improvement should be documented to effectively manage approved improvement activities.

Conclusion

ISO 20000 implementation should not be a complex task if you set it up correctly right from the beginning. Documentation that is required by the standard, extended by non-mandatory documents, forms a significant part of the SMS implementation. Knowing what the standard requires as mandatory documentation helps the organization to be well prepared for the certification audit. On the other side, having non-mandatory documents in place helps the organization to run the SMS effectively. Implementing both mandatory and non-mandatory documents in an optimal scope increases efficiency of the SMS and creates benefits for both the organization itself and its customers. Who would wish for more than that?

For more information, please take a look at this useful handbook: Managing ISO Documentation: A Plain English Guide.

Useful resources

These online materials will help you with ISO 20000 implementation:

- Here you can download a free preview of the ISO 20000 Documentation Toolkit – in this free preview, you will be able to see the Table of Contents of each of the mentioned documented procedures, as well as a few sections from each document.

References

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