



## YaSM<sup>®</sup> - ISO 20000 Bridge

Introduction to ISO 20000 and the  
YaSM<sup>®</sup> - ISO 20000 Bridge

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# What is ISO 20000?

ISO/IEC 20000:2018 (abbreviated to ISO 20000 in this document) is the internationally acknowledged 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. The standard 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 requires the adoption of a “service management system (SMS)”, a “management system to direct and control the service management activities of the service provider”. The key components of an 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 20000:2018, Part 1: Service management system requirements - these are the mandatory requirements which must be fulfilled in order to be compliant with the standard.

Additional documents are available, providing further guidance, for example ISO/IEC 20000 Part 2: "Code of practice". These documents can be obtained from the International Standardization Organization (ISO) or its member organizations.

## The new edition of ISO/IEC 20000:2018

A third, completely revised edition of ISO 20000 Part 1 (referred to as ISO/IEC 20000-1:2018) was released in September 2018.

The authors of the new version describe the main differences to the earlier edition ISO/IEC 20000-1:2011 as follows:

- A new high-level document structure has been introduced in line with other management system standards, making it easier for organizations to comply with several standards such as ISO 9001 (Quality Management) or ISO 27001 (Information Security Management).
- Terms and definitions have been revised to include terms specific to management system standards. A reference has been added to the terms and definitions given in ISO/IEC 20000-10.
- Clauses have been revised or added to take into account the growing trends in service management, such as commoditized services and the management of multiple service providers by a service integrator.
- Some detail has been removed to allow organizations more flexibility in fulfilling the requirements.
- An explicit requirement to “establish, implement, maintain and continually improve a service management system (SMS)” has been introduced.
- References to the “PDCA” (“Plan-Do-Check-Act”) methodology have been deleted because many improvement methods can be used with management system standards.
- New requirements for context of the organization and actions to address risks and opportunities have been added.
- Requirements for documented information, resources, competence and awareness have been updated.
- Additional requirements for service planning, knowledge, asset management, demand management and service delivery have been inserted.
- Requirements for incident management and service request management have been separated out into two sets of requirements.

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.

## **Benefits of ISO 20000**

Certification against ISO 20000 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 place. 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<sup>®1</sup> comes into the picture: YaSM is well aligned with ISO 20000 and offers a complete set of processes, policies 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<sup>®</sup> - ISO 20000 Bridge”, an additional component to the YaSM<sup>®</sup> 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 requirements relate to the YaSM processes.

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<sup>1</sup> YaSM stands for “Yet another Service Management Model”. YaSM<sup>®</sup> is a registered trademark of IT Process Maps GbR.

# How to become certified to ISO 20000

## What is the audit process?

If your organization wishes to be formally certified against ISO 20000, you will need to be assessed by a Registered Certification Body (RCB). If you are able to demonstrate compliance with the requirements of ISO 20000-1 (part 1 of the standard, containing the mandatory requirements), the RCB will issue a certificate of conformance.

According to ISO 17021, the certification audit should be divided into two stages: Stage 1 audit and stage 2 audit.

- During the stage 1 audit, your auditor will determine your organization's readiness for ISO 20000 certification. A key output from this stage is typically a list of identified non-conformities (areas where the standard's requirements are not fulfilled). The stage 1 audit report will thus help you with correcting any issues in preparation for the final stage 2 audit.
- The stage 2 audit aims to assess compliance with the ISO 20000 requirements. If you complete the stage 2 audit successfully, your organization is certified against ISO 20000.

## What is being audited?

The aim of the ISO 20000 certification audit is to verify if your organization meets the requirements of ISO/IEC 20000, Part 1: Service Management System Requirements.

So for each requirement, you need to state during the audit how it is fulfilled and provide relevant evidence.

Evidence is typically presented in the form of documented information. Your auditor will usually ask to see the following documents and verify if they are fit for purpose:

- Documented processes
- Service management policies

— Other documented information as required by ISO 20000.

The auditor will also hold interviews with members of staff in your organization to check if

— Everyone is familiar with the processes

— The documented processes are adhered to.

## How do we prepare for the audit?

Unfortunately, ISO 20000 only sets out requirements that must be fulfilled, but it does not provide detailed guidance. Its authors recommend that organizations use “a combination of generally accepted frameworks and their own experience” in their effort to get aligned with ISO 20000.

So the classic approach to preparing an organization for the ISO 20000 audit is to take the advice from the popular service management frameworks and approaches such as ITIL<sup>®2</sup>, CMMI-SVC<sup>®3</sup>, COBIT<sup>®4</sup>, VeriSM<sup>™5</sup>, SIAM<sup>®6</sup>, etc. Wherever nonconformities with ISO 20000 are identified, organizations can use that guidance to adapt their processes or documentation, as needed.

The YaSM process model and the YaSM - ISO 20000 Bridge make this task a lot easier, because YaSM is based on the established frameworks and was developed with ISO 20000 in mind. For every ISO 20000 requirement, YaSM provides you with detailed guidance in the form of process and document templates that you can adapt to your needs.

## How long does it take?

Obviously, the timescale and work effort for aligning an organization with the requirements of ISO 20000 will depend on the type and size of the organization, and also on where it starts from.

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<sup>2</sup> ITIL<sup>®</sup> is a registered trademark of AXELOS Limited.

<sup>3</sup> CMMI<sup>®</sup> is a registered trademark of Carnegie Mellon University.

<sup>4</sup> COBIT<sup>®</sup> is a registered trademark of ISACA.

<sup>5</sup> VeriSM<sup>™</sup> is a registered trademark of IFDC.

<sup>6</sup> SIAM<sup>®</sup> is a registered trademark of EXIN.

For example, organizations that have previously been certified against other management standards such as ISO 9001 enjoy a clear advantage.

So there is no simple answer to the question how long it will take, but in our experience most organizations spend one year or two preparing for their certification audit.

## **What are the typical project steps leading to ISO 20000 certification?**

### **Step 1: 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 organization at least a basic understanding of service management best practice.

### **Step 2: Determine the ISO 20000 certification scope**

If you wish to limit the scope of your ISO 20000 certificate: Decide what parts of the organization, what services and/ or what locations shall be covered by the ISO 20000 certificate.

### **Step 3: Conduct an initial ISO 20000 assessment**

Determine gaps between today's situation and the standard's requirements; this can be done by an external advisor, or by way of a self-assessment.

The YaSM model provides a complete set of ISO 20000 compliant processes as a benchmark for your assessment.

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 issues are and how they can be addressed.

### **Step 4: Set up the ISO 20000 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 an experienced external advisor.



## **Step 5: Prepare for the ISO 20000 certification audit**

Close the gaps identified during the initial ISO 20000 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 service management processes may need to be modified or introduced.

Defining processes to meet the ISO 20000 requirements can be a challenge, but with the YaSM model we provide detailed process templates, so you don't have to start from nothing.

During preparation for the ISO 20000 audit, use a checklist to keep track of what requirements are already fulfilled and what related evidence (documents and records) is in place.

To help you with this, the YaSM - ISO 20000 Bridge contains a pre-configured Excel table with all ISO 20000 requirements which you can use to monitor your progress towards ISO 20000 compliance.

## **Step 6: Conduct the ISO 20000 certification audit**

The actual ISO 20000 audit must be carried out by an external auditor from a Registered Certification Body (RCB).

## **Step 7: Retain ISO 20000 certification**

After the initial certification, renewal of the ISO 20000 certificate is due every three years. Make sure you continue to adhere to the standard and put a strong emphasis on continual service and process improvement.

## **Are there typical pitfalls in an ISO 20000 project?**

### **No management support**

Management must understand and communicate why the organization seeks certification, and visibly endorse the initiative.

### **Too little involvement of staff**

The advantages of best practice should be explained to everyone in your organization, and all members of staff should be involved as

closely as possible during the design of the new ISO 20000 compliant processes.

If staff are able to contribute their views and experiences during the ISO 20000 project, this greatly enhances acceptance of the new processes - and ensures long-term success.

### **Insufficient resources for the ISO 20000 project**

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.

### **No external support**

If you plan to get certified against ISO 20000 for the first time, it pays to seek the help of an external advisor.

Many requirements are, to a certain extent, open for interpretation, and an experienced consultant can tell you what's of importance to your auditor. He or she can thus direct your efforts in the right direction. Your goal should be to be well prepared for the audit - without overshooting the mark.

# How the YaSM® - ISO 20000 Bridge supports Certification Initiatives

## Contents of the YaSM® - ISO 20000 Bridge

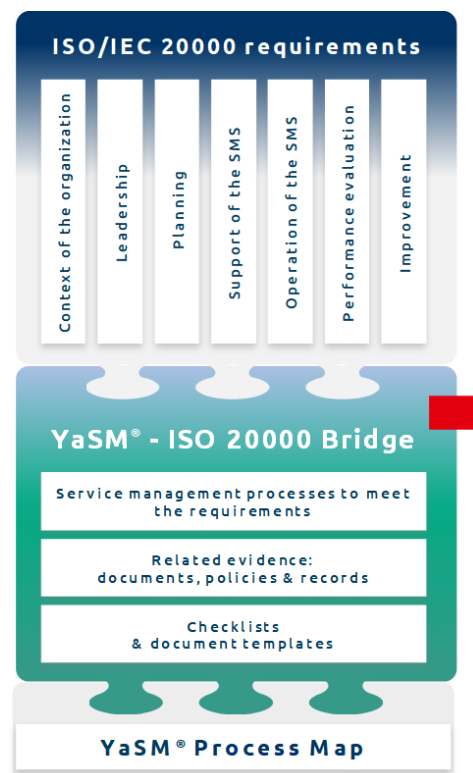
The YaSM® - ISO 20000 Bridge is designed to be used in combination with the YaSM® Process Map.

A set of detailed diagrams relates the standard's 149 requirements to the 125 process diagrams and 95 document templates of the YaSM Process Map.

You are thus able to start from the ISO 20000 requirements, and to open the corresponding process and document templates with a mouse-click.

So for every ISO 20000 requirement you will find a specific suggestion on how it can be fulfilled.

In addition, the YaSM® - ISO 20000 Bridge contains the complete set of ISO 20000 requirements as a sortable and filterable Excel worksheet.



## Tasks of a typical 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 149 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 codes	Requirements	Processes	Documents and records	Comments
<p>The circles next to the requirements can be used for color-coding: Green circles might, for example, indicate the requirements which are already fulfilled.</p> <p>You are ready for the certification audit once all circles are green.</p>	<p>The "Requirements" column contains all ISO 20000-1:2018 requirements as an exact copy of the original standard (Part 1: Service management system requirements).</p>	<p>The "Processes" column states for each requirement which process(es) from the YaSM® Process Map - when implemented - fulfill the ISO 20000 requirement.</p> <p>A mouse-click takes you right in to the process diagrams of the YaSM® Process Map where you can explore an ISO-20000-compliant process.</p> 	<p>The "Documents and records" column states which information items (typically, documents or records) can be used to demonstrate compliance with a requirement. Your auditor will look for those documents and records as evidence that a certain process is actually in use.</p> <p>The shapes are linked with checklists - documents which describe the typical contents of the documents and records. The checklists of the YaSM® Process Map can be opened with a mouse-click.</p> 	<p>The "Comments" column contains notes on how the YaSM® processes and information objects relate to a requirement.</p> <p>You can insert your own comments - for example further explanations on how a specific requirement is fulfilled.</p>
Mandatory ISO/IEC 20000:2018 Requirements	Processes which fulfill the requirements	Related evidence (documents and records)	Comments	
<p><input checked="" type="radio"/> <b>8.3.3 Service level management</b></p> <p>8.3.3.1 The organization and the customer shall agree the services to be delivered.</p>	<p>Design new or changed services </p> <p>Manage customer relationships </p>	<p>Service definition </p> <p>Customer service agreement </p>	<p>The services to be delivered are specified in the service definitions. The service definitions are integral parts of the customer service agreements signed with each customer.</p>	
<p><input type="radio"/> 8.3.3.2 For each service delivered, the organization shall establish one or more SLAs based on the documented service requirements. The SLA(s) shall include service level targets, workload limits and exceptions.</p>	<p>Design new or changed services </p>	<p>Service definition </p>	<p>The services to be delivered, including service level targets, are specified in the service definitions.</p>	
<p><input type="radio"/> 8.3.3.3 At planned intervals, the organization shall monitor, review and report on:</p> <p>a) performance against service level targets;</p> <p>b) actual and periodic changes in workload compared to workload limits in the SLA(s).</p>	<p>Design new or changed services </p> <p>Operate the services </p>	<p>Service definition </p> <p>Service quality report </p>	<p>The service properties, including service level targets, are specified in the service definitions. The service operation process tracks agreed vs. actual service levels and compiles service quality reports.</p>	

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