

Key Differences of ISO/IEC 20000 – 2011 and ISO/IEC 20000 – 2005 and its effect on transition or adoption

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It has been almost three months since the new ISO/IEC 20000 standard - 2011 is published and the changes to the standard are being discussed, debated in various forums worldwide and on the internet.

There are lot of expectations from the new standard in terms of its alignment to the best practice ITIL version 3, ISO 9000, 27001 standards and focus on continual improvement that will bring true benefits to the organizations adopting it.

This white paper is targeted at audience who are aware of ISO/IEC 20000: 2005 standard and understands ITIL terminology. This white paper discusses the differences between the earlier version and the new one and focuses on the effect on the implementation.

This standard currently has 5 parts as compared to the two parts of earlier version,

Part 1: Service management system requirements

- ISO/IEC 20000-1:2011 is a service management system (SMS) standard. It [specifies requirements for the service provider to plan, establish, implement, operate, monitor, review, maintain and improve an SMS](#). The requirements include the design, transition, delivery and improvement of services to fulfill agreed service requirements.

Part 2: Guidance on the application of service management systems)

- ISO/IEC 20000-2:2005 represents an industry consensus [on guidance to auditors and offers assistance to service providers planning service improvements](#) or to be audited against ISO/IEC 20000-1. ISO/IEC 20000-2:2005 is based on BS 15000-2, which has been superseded.

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

- ISO/IEC TR 20000-3:2009 provides guidance on scope definition, applicability and demonstration of conformance for service providers aiming to meet the requirements of ISO/IEC 20000-1, or for service providers who are planning service improvements and intending to use ISO/IEC 20000 as a business goal.

Part 4: Process reference model

- The purpose of ISO/IEC TR 20000-4:2010 is to facilitate the development of a process assessment model according to ISO/IEC 15504 process assessment principles. ISO/IEC 15504-1 describes the concepts and terminology used for process assessment. ISO/IEC 15504-2 describes the requirements for the conduct of an assessment and a measurement scale for assessing process capability.

Note:- The process reference model is not intended to be used for a conformity assessment audit or process implementation reference guide. The process reference model does not specify the interfaces between the processes.

Part 5: Exemplar implementation plan for ISO/IEC 20000-1

- ISO/IEC TR 20000-5:2010 is an exemplar implementation plan providing guidance to service providers on how to implement a service management system to fulfill the requirements of ISO/IEC 20000-1 or for service providers who are planning service improvements and intending to use ISO/IEC 20000 as a business goal. It could also be useful for those advising service providers on how to best achieve the requirements of ISO/IEC 20000-1.

For the purpose of the white paper we will be primarily discussing part 1 of the standard.

In part one of the standard, core processes and their grouping is as given below,

Service delivery processes

- Capacity management
- Service continuity & availability management
- Service level management
- Service reporting
- Information security management
- Budgeting & accounting for services

Control processes

- Configuration management
- Change management
- Release and deployment management

Where release process is renamed and now considered as a control process

Resolution processes

- Incident and service request Management
- Problem management

Where Service Request management is introduced

Relationship processes

- Business relationship management
- Supplier management

Key Differences

- This standard now provides requirements for "Service management System" as against the "Information technology service management" in previous version. This standard can now be adopted by any service providers not just IT, it could even be used for certifying the organizations in banking, healthcare, catering or transport service provider sectors. The benefit is that its worldwide adoption will increase but it may be generalized, interpreted and adopted in large scale in near future and may dilute its significance for IT.

- Organization often found it hard to have a good service management policy and define a management representative role that will take care of it in 2005 implementations. In 2011 version, under "management responsibility" section, clarity has been provided on Service management policy and specifically authority and responsibility areas of management representative. This provides a good clarity on the role and the expected result areas for the role.
- This standard focuses greatly in continual service improvement and there is a specific requirement for a policy on continual improvements along with the documented procedure for dealing with the improvements.
- There is a specific requirement for "Governance of processes operated by other parties" where responsible parties (not just roles) have to be identified in each of the process areas or related activities and service provider has to demonstrate control through effective governance practices on the parties (internal or external suppliers) through Service level Management process or supplier management process or combination as required. This part will be helpful in removing any ambiguity or overlap for responsibility and accountability of the service management activities and is an important requirement especially when outsourcing related governance and management is a complex activity, it is clearly emphasizing a fact that service provider is a service integrator and he has to demonstrate effective governance. Organizations with sourcing governance practices will be able to effectively demonstrate these requirements. This is a key area which will take a good time of alignment journey.
- section "Planning and implementing new or changed services" in earlier version was more focusing on planning activities but a good emphasis was required on designing and transition considerations that will lead to a better use of design processes to create better designs. This will be helpful in reducing the overall costs of service management and also will enhance quality of the services. Now a new section is introduced in the standard namely "Design and transition of new or changed services". This section provides requirements on planning activities answering, what shall be planned? Provides guidance on design and development considerations answering, what should a design and its documentation include? Provides guidance on criteria of acceptance (not in detail though, primarily focusing on testing and acceptance) of a new or changed service.
- Service level Management now requires that Service catalogue is agreed with the customers and interestingly enough that emphasizes on technical service catalogue and business service catalogue (ITIL V3 concept) both (without stating so directly) as there is a requirement of stating dependencies between services and service components (which could be supporting services, and components of Services). Something that is open for interpretation. This would require auditors to focus on intent and spirit of the standard and not the just refer words. Also technical service catalogue is not often seen in the industry and is a sizable task. The tool dependence is high for the better use of service catalogue. This is another area where a good amount of efforts would be required.
- There are some ambiguous requirements for continuity and availability management for example, "service response times", "service access rights" and "end to end availability of the services" related customer requirements are required to be identified. The issue is it depends on what do you define as a service and how do you measure it. This type of wording often leads to confusion and it is a good practice that your "definition" of the above terms be noted in the process document and then get it validated from auditors.
- In 2005 version there was a flexibility to test the continuity plan in accordance with the business needs as not always it is possible to test the full continuity plans, but the new version has a requirement of testing plans to the agreed continuity requirements.
- In earlier version capacity management process was focusing mainly on existence of plans, methods and processes for managing capacity and was not focusing so much on meeting the agreed capacity and performance requirements. In the new version there is a specific requirement on the outcome i.e. providing agreed capacity. Something against the spirit of the standard (i.e. not guaranteeing the outcomes). Surprisingly this is not so for availability and continuity management.
- Information security requirements are stated more specifically specially in the areas of security policy (contents, approach and activities to be covered) and controls (areas of controls and appropriateness for their objectives), notably the interface of this process with change and incident management has been addressed well. If the organization is not already aligned to ISO 27001 practices this will definitely take a good time of alignment efforts..
- Under "Supplier management" section there are specific requirements addressing contents of the contracts while outsourcing services. Organizations can realign the contracts during the permissible transition time to the new standard which is given below in this paper.

- 2011 version requires service request management process to be defined and managed. This should be rather easy as in most of the organizations there are mature practices around service request management definition and scoping is a key.
- Configuration management process requirements are bit stringent and definitely require a good tool to demonstrate compliance effectively. There are requirements on what information should be recorded for each CI (configuration item) and couples of requirements are related to recording of associated problems and known errors and associated Request for a change, which is where tool will be handy. Depending upon the availability of the tool this may take a good time of the realignment journey.
- In earlier version only emergency change control policy was required but in the new version a comprehensive change management policy is required. Which I would say is a good requirement that will facilitate better governance of changes.
- Release management process is now renamed as a release and deployment management process and emphasize has been given on existence of remediation plan and where possible testing of the same. This is another good addition of a requirement.

With these key differences industry is yet to face a first audit on the new standard and will eventually understand and implement these requirements effectively.

Conclusion

On the good side, the focus of the new standard is on bringing effectiveness and efficiency in its true spirit and has raised the bar and on the other hand industry may struggle to implement the same in its true sense due limitations in tool, required capabilities and business limitations, but eventually will figure out way to adopt. In all, this is a welcome change for the quality conscious Service management fraternity as it will lead to improved quality and will reflect true capability of the certificate holder and hopefully will avoid over commercialization.

Transition plan: APMG scheme

APM Group Ltd owns and operates the ISO/IEC 20000 certification scheme formerly managed by itSMF.

The revised Part 1 document (ISO/IEC 20000-1:2011) has been introduced to the Scheme from the 1st June 2011.

Conducting of audits, certifications and re-certifications using the existing Part 1 document, ISO/IEC 20000-1:2005 will cease 24 months from the introduction of the new version ISO/IEC 20000-1:2011. (i.e. cease by 01 June 2013).

Audits and re-certifications of already certified organizations will still be permitted using Part 1 (ISO/IEC 20000-1:2005) for a 24 month period to allow organizations the time to adapt to meet the new requirements. After 01 June 2013, only audits and re-certifications using the ISO/IEC 20000-1:2011 will be accepted.

For new applications to become ISO20000 certified organizations received after the 1st June 2011:

Audits and certifications of newly certified organizations will be permitted using ISO/IEC 20000-1:2005 until 01 June 2011. After 01 June 2011, only audits and certifications using ISO/IEC 20000-1:2011 will be accepted.

It is advisable to for the already certified organizations to do a gap analysis with respect to new standard and start migrating towards the new requirements at the earliest. As depending upon the current readiness the migration may take about 3- 5 months.

About the Author

Vinay Nikumbh is a principal consultant in IT service Management and ISO 20000 with Quint Wellington Redwood India. Vinay has worked as a lead consultant to the organizations in banking and finance, Manufacturing, BPO and transformation, telecom sectors world over. He is an "ITIL Expert" Certified Consultant, ISO 20000 Consultant and Auditor from itSMF UK. Vinay has more than 18 years of Experience in IT Operations, Infrastructure, Services and Service Management and has trained over 5000 professionals worldwide in the subject.

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