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Information technology — Service management —

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

Technologies de l'information — Gestion des services —

Partie 3: Recommandations pour la détermination du périmètre et l'applicabilité de l'ISO/IEC 20000-1

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ISO copyright office
CP 401 • Ch. de Blandonnet 8
CH-1214 Vernier, Geneva
Phone: +41 22 749 01 11
Fax: +41 22 749 09 47
Email: copyright@iso.org
Website: www.iso.org

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Foreword

ISO (the International Organization for Standardization) and IEC (the International Electrotechnical Commission) form the specialized system for worldwide standardization. National bodies that are members of ISO or IEC participate in the development of International Standards through technical committees established by the respective organization to deal with particular fields of technical activity. ISO and IEC technical committees collaborate in fields of mutual interest. Other international organizations, governmental and non-governmental, in liaison with ISO and IEC, also take part in the work.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular, the different approval criteria needed for the different types of document should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO and IEC shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see www.iso.org/patents) or the IEC list of patent declarations received (see http://patents.iec.ch).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation of the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT) see www.iso.org/iso/foreword.html.

This document was prepared by Joint Technical Committee ISO/IEC JTC 1, *Information technology*, Subcommittee SC 40, *IT Service Management and IT Governance*.

This second edition cancels and replaces the first edition (ISO/IEC 20000-3:2012), which has been technically revised.

The main changes from the previous edition are as follows:

a) this document has been aligned with the third edition of ISO/IEC 20000-1;

b) example scenarios in Annex A have been updated to reflect contemporary service management environments, including complex service supply chains.

A list of all parts in the ISO/IEC 20000 series can be found on the ISO website.

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at www.iso.org/members.html.

Introduction

This document provides guidance on scope definition and applicability of ISO/IEC 20000-1. This document does not add any requirements to those stated in ISO/IEC 20000-1.

Organizations, of any size, type, or area of operations, can provide a range of services to different types of customers, internal and external, and rely on complex service supply chains.

NOTE The term "service supply chain", as used in this document, refers to the way services are coordinated across internal and external suppliers. It is not intended to limit the applicability of this document to any specific sector or industry.

The operation of a service management system (SMS) may involve many parties across legal jurisdictions, national boundaries and time zones. The SMS should include the appropriate controls to facilitate the coordination of all parties participating in the service lifecycle.

This document takes the form of examples, guidance and recommendations. It should not be quoted as if it were a specification of requirements.

Information technology — Service management —

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

1 Scope

This document includes guidance on the scope definition and applicability to the requirements specified in ISO/IEC 20000-1.

This document can assist in establishing whether ISO/IEC 20000-1 is applicable to an organization's circumstances. It illustrates how the scope of an SMS can be defined, irrespective of whether the organization has experience of defining the scope of other management systems.

The guidance in this document can assist an organization in planning and preparing for a conformity assessment against ISO/IEC 20000-1.

Annex A contains examples of possible scope statements for an SMS. The examples given use a series of scenarios for organizations ranging from very simple to complex service supply chains.

This document can be used by personnel responsible for planning the implementation of an SMS, as well as assessors and consultants. It supplements the guidance on the application of an SMS given in ISO/IEC 20000-2.

Requirements for bodies providing audit and certification of an SMS can be found in ISO/IEC 20000-6 which recommends the use of this document.

2 Normative references

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO/IEC 20000-10, *Information technology — Service management — Part 10: Concepts and vocabulary*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO/IEC 20000-10 apply.

ISO and IEC maintain terminological databases for use in standardization at the following addresses:

— IEC Electropedia: available at http://www.electropedia.org/

— ISO Online browsing platform: available at http://www.iso.org/obp

4 Fulfilling the requirements specified in ISO/IEC 20000-1

4.1 Structure of the SMS

Figure 1 illustrates an SMS showing the clause content of ISO/IEC 20000-1. It does not represent a structural hierarchy, sequence, or authority levels. It shows that the requirements in

ISO/IEC 20000-1:2018, Clause 8, Operation of the SMS, have been split into subclauses to reflect the service lifecycle. The subclauses are commonly referred to as the service management processes. The service management processes and the relationships between the processes can be implemented in different ways by organizations. The relationships between each organization and its customers, users and other interested parties influence how the service management processes are implemented.

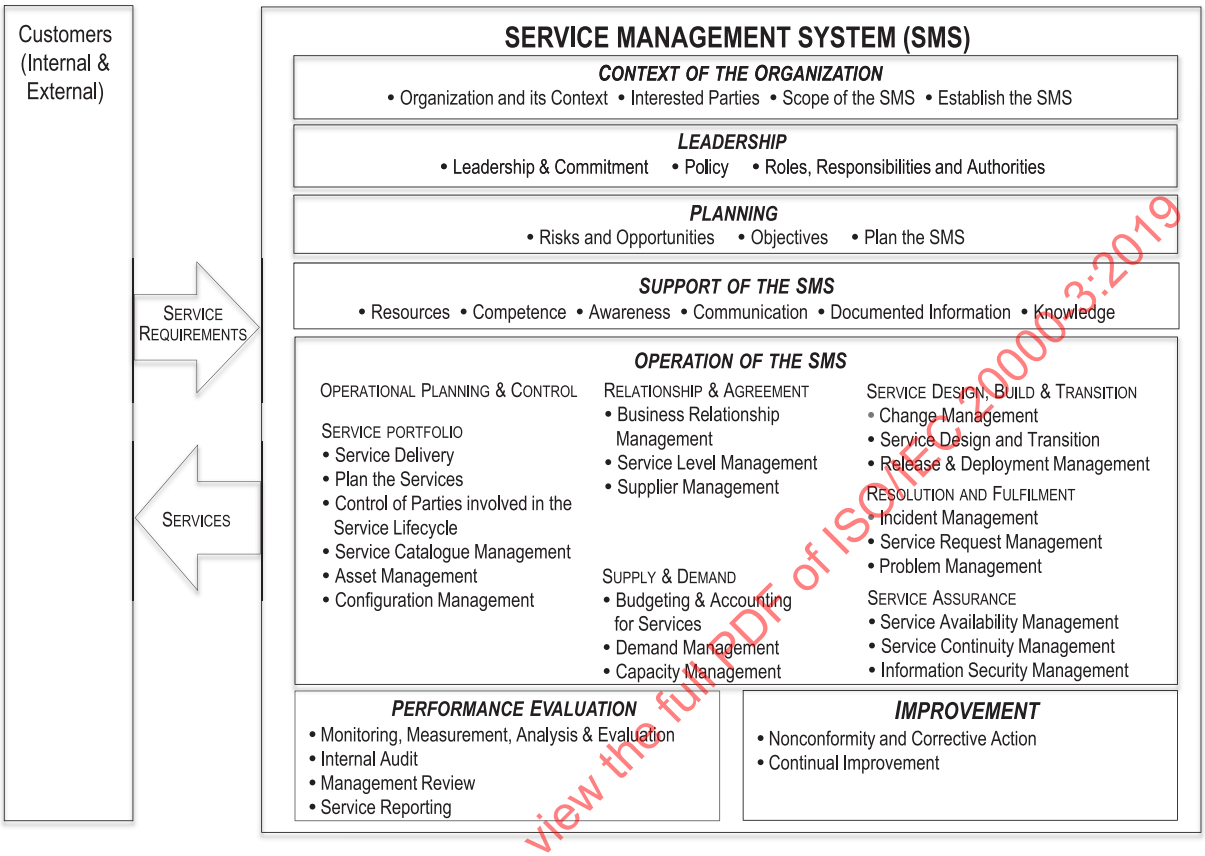

Figure 1 — Service management system

The structure of clauses in ISO/IEC 20000-1 is intended to provide a coherent presentation of requirements, rather than a model for documenting an organization's policies, objectives and processes. Process names can be different from those used in ISO/IEC 20000-1 provided all the requirements are fulfilled. Processes can be combined or split in different ways from the clause structure listed in ISO/IEC 20000-1.

There is no requirement for the terms used by an organization to be replaced by the terms used in this document. Organizations can choose to use terms that suit their operations. For example, change management and release and deployment management can be combined as one process.

Mapping an organization's process names against the requirements in ISO/IEC 20000-1 can assist an auditor in understanding how those requirements are fulfilled. An SMS as designed by an organization claiming conformity with ISO/IEC 20000-1, cannot exclude any of the requirements specified in ISO/IEC 20000-1.

4.2 Demonstrating conformity

An organization can only claim conformity by fulfilling all requirements specified in ISO/IEC 20000-1. Conformity to the requirements specified in ISO/IEC 20000-1 can be demonstrated by an organization showing evidence of:

a) fulfilling the requirements itself;

b) controls for other parties that are involved in performing activities to support the SMS.

Some or all of the requirements of ISO/IEC 20000-1:2018, Clauses 6 to 10, can be fulfilled by other parties, provided the organization can demonstrate controls for those other parties. For example, other parties can be used to conduct internal audits.

ISO/IEC 20000-1:2018, Clauses 4 to 5 should be fulfilled by the organization itself. However, another party can act on behalf of the organization, e.g. in preparation of the service management plan.

As another example, an organization can demonstrate evidence of controls for the processes operated by other parties or services that are outsourced. It is important that the organization understand which activities are to be performed by other parties to support the SMS.

4.3 Authorities and responsibilities across the service supply chain

It is important that the organization has clearly defined authorities and responsibilities for all parties in the service supply chain.

The organization should retain operational control of, and accountability for the services in scope of the SMS as described in ISO/IEC 20000-1:2018, 5.1, but can use other parties to support these requirements.

The organization is required to demonstrate that top management fulfils the requirements specified in ISO/IEC 20000-1:2018, Clause 5. The organization should demonstrate that the services support the fulfilment of the service management objectives.

It is important that the organization ensures that there is clarity regarding authority and responsibility for services and service components, and processes or parts of processes, provided or operated by all parties. This includes defining in contracts or documented agreements, the responsibilities for fulfilling service requirements.

The organization should:

a) identify and document all services, service components, processes or parts of processes in the scope of the SMS, including those that are provided by other parties;

b) identify which parties operate what services, service components, processes or parts of processes;

c) demonstrate controls for the other parties identified in a) and b) (see ISO/IEC 20000-1:2018, 8.2.3).

5 Applicability of ISO/IEC 20000-1

5.1 Principles of applicability

5.1.1 Applicability

All requirements in ISO/IEC 20000-1 are generic and are intended to be applicable to all organizations, regardless of the organization's type or size, or the nature of the services delivered. ISO/IEC 20000-1 has its roots in IT and is intended for service management of services using technology and digital information. The examples given in this document illustrate a variety of uses of ISO/IEC 20000-1.

ISO/IEC 20000-1:2018, 1.2 describes the application of the standard.

5.1.2 Organization

The organization in scope of the SMS needs to be correctly identified.

An ISO/IEC 20000-1 certificate would normally be issued to a single legal entity, rather than a group of different unrelated legal entities. See also 6.2.4 of this document.

5.1.3 Commercial status

Services can be delivered on either a commercial or non-commercial basis. The financial basis of service delivery is irrelevant to the applicability of ISO/IEC 20000-1 or the scope of the SMS.

The organization does not need to own the assets used to deliver the services.

5.1.4 Scope

The scope definition should state what has been included within the scope. If required, to aid clarity, it can also be useful to state what is outside the scope.

The scope of the SMS should be visible to staff, customers and prospective customers on request. It therefore needs to be unambiguous giving a clear indication of the services and the organization in scope.

5.1.5 Requirements

The organization should fulfil all requirements specified in ISO/IEC 20000-1 for the scope of the SMS. Some or all of the requirements of ISO/IEC 20000-1:2018, Clauses 6 to 10, can be fulfilled by other parties provided the organization can demonstrate controls for those other parties. However, ISO/IEC 20000-1:2018, Clauses 4 and 5 should be fulfilled by the organization itself but can be supported by other parties.

5.1.6 Authorities and responsibilities

The organization should be aware of the importance of clarity about authorities and responsibilities of the organization itself and other parties involved in the service lifecycle. The organization should retain accountability for all requirements in ISO/IEC 20000-1 but can use other parties to support this. Where other parties are involved, control should be demonstrated of the performance and effectiveness of their involvement according to ISO/IEC 20000-1:2018, 8.2.3.

5.2 Parties involved in an SMS

5.2.1 Types of suppliers

Organizations can use any type of combination of suppliers to support an SMS based on ISO/IEC 20000-1.

The organization can fulfil all requirements specified in ISO/IEC 20000-1:2018, Clauses 6 to 10 directly or by involving other parties. Other parties who provide or operate services, service components or processes can be:

a) internal suppliers;

b) external suppliers;

c) customers acting as suppliers.

An internal supplier may have the same governing body as the organization in the scope of the SMS but is external to the scope of the SMS, e.g. human resources or procurement. An internal supplier should have a documented agreement with the organization in the scope of the SMS, specifying the internal supplier's contribution to the SMS and services.

An external supplier is an organization or part of an organization that is external to the organization within the scope of the SMS. If the organization in the scope of the SMS is part of a larger organization, the external supplier is external to the larger organization. An external supplier can enter into a contract with the organization to contribute to the planning, design, transition, delivery and improvement of services. Because the organization can have contracts with lead suppliers but not sub-contracted suppliers, lead suppliers should manage sub-contracted suppliers that are relevant to the SMS.

A customer can contribute to the operation of the SMS and the delivery of services, as well as receiving services. For example, a customer can manage a service desk and operate part of the incident management process. The contribution made by the customer when acting as a supplier should be under the terms of a documented agreement between the organization and the customer. This agreement should clearly identify the customer's role as a supplier and be distinct from any agreement between the organization and the customer for the provision of services. The agreement related to the supply of services can depend on the agreement as a customer. For example, a customer can provide a service desk as a supplier but specify in an agreement that they would cease to provide the service desk if they were not also a customer.

Where any customer acts as a supplier, there should be two agreements with the customer. The first agreement should specify the services to be delivered for a customer receiving service(s). The second agreement should specify the organization's conditions and controls for the customer acting as a supplier.

A risk with an external customer acting as a supplier is that the service provided can be contingent on the customer agreement, e.g. if the customer agreement is terminated, the agreement to provide the activities of the customer acting as a supplier may also be terminated. If the activities supplied impact other customers or interested parties, this can lead to the SMS no longer being conformant. It is good practice for transitional agreements to be included in the supplier agreement in case this should happen.

The organization should apply controls for all processes, services and service components within the scope of the SMS, even when other parties are involved. This is described in 5.3 of this document. Unless the organization can demonstrate controls for all parties, they cannot demonstrate conformity.

5.2.2 Improvements to the SMS and services

Opportunities for improvement can be identified by the organization or by other parties. These opportunities are evaluated and managed as specified in ISO/IEC 20000-1:2018, 10.2.

EXAMPLE 1 The organization requests another party to make performance improvements to achieve the agreed service objectives.

EXAMPLE 2 The other party identifies process improvements which will increase efficiency. These are discussed and agreed with the organization.

5.2.3 Evaluation and selection of other parties

ISO/IEC 20000-1:2018, 8.2.3.1 specifies that the organization determines and applies criteria for the evaluation and selection of other parties involved in the service lifecycle. There may be some generic capabilities and criteria for evaluation and selection of other parties. Examples of criteria are financial stability, previous experience of undertaking the same type of work, cost and ability to start in the required timescale.

For a complete determination of the evaluation criteria, it is necessary to have established a clear scope for the SMS and plan services, service components or processes to be assigned to each other party.

It may be necessary to coordinate criteria and selection of other parties with procurement or contract teams in the organization.

5.3 Control of other parties

5.3.1 Processes, services and service components provided or operated by other parties

Where the organization uses other parties to perform activities to support the SMS or the delivery of services within the scope of the SMS, the organization should define and apply the necessary controls and measurements to ensure the appropriate outcomes as defined by top management are met.

The organization should identify processes or parts of processes, services and service components operated or provided by other parties. The organization should ensure that contracts or documented

agreements include controls that are applied for management of all parties and apply supplier management according to ISO/IEC 20000-1:2018, 8.3.4. The importance of these controls is specified in ISO/IEC 20000-1:2018, 8.2.3.

5.3.2 Accountability

The organization is accountable for fulfilling the requirements specified in ISO/IEC 20000-1 for all services in scope of the SMS. This should include the accountability for measurement and evaluation of both process performance, and effectiveness of services and service components provided or operated by other parties.

For example, another party is responsible for resolution of an incident that impacts the customer's service. The organization in scope of the SMS retains accountability to the customer for resolution of the incident. The SMS includes applying controls for the other party.

The organization should ensure that contracts and agreements with other parties provide process and information inputs and outputs, and information required to support the SMS.

The organization should also be able to demonstrate that top management is committed to the implementation, maintenance and operation of the SMS. This should include controls for other parties involved in the service lifecycle.

5.3.3 Integration, interfaces and co-ordination

The organization should ensure there is clarity on the scope of services between:

a) the organization and its customers;

b) the organization and its service supply chain.

This should include the accountabilities and responsibilities and the methods of engagement between the organization and all relevant parties.

The organization should appropriately integrate services, service components and processes provided or operated by the organization itself and other parties. For example, where processes have interfaces between the organization and other parties, then the organization should demonstrate the integration such that all services operate to achieve their intended outcomes. Similarly, where services rely on supporting services or service components from other parties, the integration of the services should be the responsibility of the organization to ensure that all parts of the services meet the service requirements.

"Service integration" is sometimes known as service integration and management. It promotes end-to-end service management, particularly in complex service supply chains. "Service integrator" is a term used for the organization or part of an organization that takes on the key role of managing the integration and coordination of services, service components or processes delivered from multiple suppliers. The service integrator role can be fulfilled by the organization or one of its suppliers. A service integration structure provides governance, management, integration, assurance and coordination to ensure the customer organization gets maximum value from its suppliers.

The organization should demonstrate clearly how these interactions with other parties (and resulting outcomes) are measured and evaluated by the organization. This can include those interactions between different processes, as well as between the parts of the process provided by other parties supporting the organization's SMS. The definition of the interactions should include the process triggers, the method for interaction, the information exchanged, and any service levels associated (such as a response time).

For example, for the incident management process, good practice can include:

— how the incident information is transferred between the organization and another party;

— what should be included in an incident record;

— which party is responsible for the incident at each stage of the lifecycle, including how often and the criteria by which information is updated by each party.

5.3.4 Definition of controls for measuring and evaluating other parties

ISO/IEC 20000-1:2018, 8.2.3.2, specifies that the organization applies controls for processes, services and service components provided or operated by other parties. These controls are for process performance and service or service component effectiveness.

The organization should also enforce adherence to agreed performance criteria by other parties through measurement and evaluation of the outcomes provided by those parties.

EXAMPLE 1 Setting criteria for service performance, such as customer satisfaction measurement or meeting the intended outcomes of the service as stated in the service catalogue.

EXAMPLE 2 Assess the incident management process performance by measuring and evaluating adherence to the agreed service levels.

5.3.5 Management of the service supply chain

Where an internal or external supplier is involved in the service lifecycle, the organization should manage the supplier through the supplier management process (see ISO/IEC 20000-1:2018, 8.3.4.). The supplier management process also applies to customers of the organization when acting as a supplier, even though they are treated as customers when they are a consumer of the services.

The organization should include information security requirements for suppliers in the contracts or documented agreements. There can also be controls for customers or other parties before they can have access to, use of, or the ability to manage the organization's information or services. See ISO/IEC 20000-1:2018, 8.7.3.2. This should be a condition for allowing access to, use of, or the ability to manage the organization's information or services. If the controls are not operated, any contribution made by the other parties should be excluded from the scope definition.

Refer to 6.7 for more information.

6 General principles for the scope of an SMS

6.1 Introduction

ISO/IEC 20000-1:2018, 4.3 provides requirements for defining the scope of the SMS.

Top management should ensure the scope of the SMS is clearly defined and agreed. It may be necessary to involve any relevant governing body in this decision. Top management should ensure the scope is reviewed to maintain continuing validity when there are changes to the organization and the services. The scope should also be reviewed at regular intervals to ensure scope is aligned to business needs.

NOTE Governing body is defined in ISO/IEC 20000-10 as a "group or body that has the ultimate responsibility and authority for an organization's activities, governance and policies and to which top management reports and by which top management is held accountable". Not all organizations, particularly small organizations, will have a governing body separate from top management.

A clearly defined scope is important for an organization seeking to demonstrate conformity to ISO/IEC 20000-1. It sets the boundaries within which conformity can be assessed.

The organization in the scope of the SMS can be part of a larger organization, for example an individual department of a large corporation.

The scope definition of the SMS should be visible to staff, customers and prospective customers on request. It therefore needs to be unambiguous giving a clear indication of the services and the organization in scope.

See Annex A of this document for examples of scope definition.

6.2 The scope of the SMS

6.2.1 Defining the scope

The scope definition should state what has been included in the scope of the SMS. The scope defines the organization, or part of an organization, and the services in the scope of the SMS.

The scope definition should:

a) be as simple and concise as possible;

b) be understandable without detailed knowledge of the organization;

c) include enough information for use in a conformity assessment;

d) be worded so that any exclusions are clear;

e) not refer to documents outside the scope of the SMS.

Exclusion statements are not mandatory in the scope definition but can help to make the scope definition unambiguous. Where there are exclusions to the scope definition, they should be listed within the scope definition or via a linked exclusion statement. Care should be taken when defining scope based on exclusion statements.

EXAMPLE 1 If new services are implemented and are not explicitly noted in the scope exclusion, they will be assumed to be included in the scope of the SMS.

EXAMPLE 2 If the scope is limited to all locations except <list of excluded locations>, when a new location is established, it will be assumed to be included in the scope which may impact the ability to demonstrate conformity.

The definition of the scope can change based on other parameters such as customers or locations being added or removed. The scope should be defined in a way that considers the full context of the organization (see Scenario 8 in A.5.3 for an example). The scope should be as simple as possible to avoid frequent revision for minor changes to services or customers.

6.2.2 Scope definition and assessment

The scope statement of the SMS should be agreed when planning to demonstrate conformity to ISO/IEC 20000-1. This can avoid setting false expectations about the SMS within the organization.

The organization should confirm the scope of the SMS with the third-party assessor before any external assessment against the requirements specified in ISO/IEC 20000-1 takes place.

Only the evidence relevant to the scope of the SMS should be considered during any assessment.

6.2.3 Limits to the scope

Where the scope of the SMS is all services for the whole organization, defining the scope of an SMS can be simple. For example, “The SMS for <name of organization> that provides <services>”.

If the organization only includes some of its services in the scope of the SMS, the scope should be defined to avoid ambiguity. The scope can be limited to services delivered to one customer, services delivered from one site or only one type of service.

An organization can have both internal and external customers and deliver many services and service types. Consequently, the scope of the SMS can include services for several internal and external customers. When this is the case, the processes within scope of the SMS should be consistent across customers but the procedures used for each customer or for different service types can vary in detail.

6.2.4 Commercial considerations

An ISO/IEC 20000-1 certificate would normally be issued to a single legal entity, rather than a group of different unrelated legal entities.

NOTE Refer to a certification body for further guidance.

A certificate for a single legal entity can include subsidiaries of an overarching entity within the scope, e.g. an organization using multiple trade names. It is common for related entities to operate with common processes. For related entities to operate with a common SMS, the following should be true:

a) the related entities should have a common governing body;

b) the certification is for the parent entity that governs the related entities.

6.3 Agreements between customers and the organization

If a customer is identified in the scope definition, the organization should fulfil all requirements specified in ISO/IEC 20000-1 as they relate to that customer.

The organization cannot use the terms of a contract or documented agreement with a customer to reduce its obligations to fulfil all the requirements specified in ISO/IEC 20000-1. This is the case even if the terms of a contract or documented agreement exclude some of the services or processes, e.g. services within the scope of the SMS are required to have a capacity management process even if the management of capacity is excluded from a customer's contract terms.

6.4 Scope definition parameters

6.4.1 Parameters to define the scope of the SMS

The organization should use the necessary parameters to define the scope of the SMS to ensure that there is no ambiguity about what is included and excluded (see ISO/IEC 20000-1:2018, 4.3).

The parameters should include at least:

a) organizational units providing services, e.g. a single department, group of departments or the whole organization;

b) what services or types of services are offered to customers, e.g.

- a single service, group of services or all services,
- IT services, cloud services,
- technology services to support facilities management, business process outsourcing,
- technology services to support any sector's business, e.g. telecommunications, finance, retail, tourism, utilities.

For example, the scope definition can be: The SMS of <name of organization> that delivers <list of service(s)>.

The term "delivered" in this context should be interpreted as all of the activities included in the service lifecycle, including planning, design, transition and improvement and not just the day-to-day operation.

In a scope definition, the <name of the organization> should be the actual name of the organization and not a generic reference to "the organization" to avoid creating a circular reference.

6.4.2 Other parameters

Whilst the minimum parameters for the scope definition are the name of the organization and the services delivered, the organization should use other parameters if they are needed in order to remove any potential ambiguity in the scope definition of the SMS. The scope definition should be easy to understand by interested parties that are not part of the organization.

Other parameters can include:

a) customers, e.g. internal customers, external customers, specific customer names, financial service customers;

b) service locations of the service management activity, e.g. head office, all sites, sites in one country only;

c) customer locations, e.g. customers in one country, customers served from one site;

d) other appropriate parameters that clarify the scope.

EXAMPLE 1 The SMS of <name of organization> that delivers <services> from <organization location> to <customer> at <customer location>.

EXAMPLE 2 The SMS of <name of organization> that delivers <a subset of services> to <all customers of the organization>.

The parameters can be used in whatever order the organization considers suitable. Other parameters can also be used to clarify the scope.

The scope definition for an SMS can include several services or customers, without explicitly listing individual services or customers, for example, by referring to cloud services provided by the organization or referring to services to all customers. Where a limitation of scope is not listed in the scope, the broadest interpretation is assumed. For example, if a list of customers is not included in the scope then all customers will be assumed to be in scope.

The organization should not include the names of other parties, such as suppliers, that contribute to the SMS in the scope statement.

Scenarios demonstrating the use of parameters are included in Annex A of this document.

NOTE 1 Guidance from other sources can be used in creating scope statements provided they meet the requirements in ISO/IEC 20000-1.

NOTE 2 If a simple unambiguous scope statement for services cannot be agreed, it can be represented by the service catalogue.

6.5 Validity of scope definition

The organization should ensure that the scope of the SMS remains valid after it has been documented. The organization should do this by conducting reviews at planned intervals to identify discrepancies. If the defined scope does not match the actual parameters (e.g. services, locations, other), then the scope definition should be amended.

The organization can decide to demonstrate conformity for only some of its activities, dependent upon its business need. For example, the organization can start with an SMS that includes only some services and then later increase the number of services in the scope of the SMS. The organization should then revise both the SMS and the scope definition to include the additional services.

When exclusion statements are used to define scope, new services may be unintentionally included if they are omitted from an exclusion statement when they have not yet been fully transitioned to the SMS.

Some scope definitions refer to a service catalogue. The service catalogue can be included in the scope statement with or without a version number. It should be carefully considered whether or not to use

service catalogue version information in the scope because the service catalogue can be updated, and the scope definition may no longer be accurate. If a service catalogue is used as part of the definition of scope of the SMS, an internal audit review should be conducted each time the service catalogue is updated to ensure that conformity can be maintained.

6.6 Changing the scope

A change to the scope of the SMS can mean that the organization cannot continue to demonstrate conformity to the requirements in ISO/IEC 20000-1. The scope of the SMS can change when services or customers are added or removed.

A change to the services can require a change to the scope of the SMS. If an SMS is certified to ISO/IEC 20000-1, the certification body that awarded the certificate should be notified of changes affecting the SMS scope because re-assessment may be required.

If the scope of the SMS is changed, the organization should conform to the requirements specified in ISO/IEC 20000-1 for the revised scope. When the scope is revised, it can be necessary to re-assess the SMS. This can be the case even if the SMS was not due for a planned re-assessment.

6.7 Service supply chains and SMS scope

6.7.1 Reliance on other parties

The organization should consider how the scope of the SMS is influenced by the relationships between the organizations in a service supply chain. Understanding the service supply chain is fundamental to defining an effective scope for the SMS.

To achieve conformity, an organization should:

a) be responsible and accountable for fulfilment of all requirements specified in ISO/IEC 20000-1:2018, Clauses 4 and 5;

b) have accountability for fulfilment of the requirements specified in ISO/IEC 20000-1:2018, Clauses 6 to 10, including requirements fulfilled by the organization itself and accountability for all activities and controls for other parties involved in the service lifecycle.

The organization should consider how the scope of the SMS is influenced by the relationships between the organizations in a service supply chain.

6.7.2 Demonstrating conformity across the service supply chain

Where an internal or external supplier, or a customer acting as a supplier, is involved in the service lifecycle, the organization should have evidence of fulfilment of the supplier management process requirements specified in ISO/IEC 20000-1:2018, 8.3.4. This should include evidence of suitable contracts or agreements between other parties and the organization. These contracts or agreements should clearly define the activities to be carried out by other parties and the interfaces between the other parties and the organization. This definition should include the process triggers for the interfaces, the method for interaction, the information exchanged, and any associated service levels.

Other parties in a service supply chain do not need to conform to the requirements specified in ISO/IEC 20000-1 for the organization to demonstrate conformity. However, the organization should demonstrate that they meet the requirements and apply controls of those parties. ISO/IEC 20000-1:2018, 8.2.3.2, states that these controls include measurement and evaluation as relevant of the process performance and the effectiveness of services and service components provided by those parties.

When the organization and another party, such as a supplier, are both seeking to demonstrate conformity to ISO/IEC 20000-1, each can implement an SMS, and each can fulfil all the requirements independently. For example, an organization can demonstrate conformity to the requirements specified in ISO/IEC 20000-1 for the capacity management process by applying controls for the other supplier

involved in operating this process. At the same time, the supplier can demonstrate conformity with the requirements for the capacity management process for this and other customers.

When another party is providing a service or service components to the organization and both seek to demonstrate conformity, then:

a) the other party should demonstrate fulfilment of the requirements in ISO/IEC 20000-1 for the services it provides;

b) the organization should demonstrate fulfilment of the requirements in ISO/IEC 20000-1 by applying controls for that supplier.

6.8 Integrating with other management systems

The common text and structure of ISO management system standards can facilitate the integration of multiple management systems where they are used within a single legal entity, allowing common requirements to be fulfilled once rather than duplicated. ISO/IEC 20000-1 is intended to allow integration of an SMS with other management systems. For example, an information security management system (ISMS) as specified in ISO/IEC 27001 or a quality management system (QMS) as specified in ISO 9001.

There can be differences in the scope of the SMS and other management systems. Each type of management system has a different purpose and area of focus. For example, the SMS, the ISMS and the QMS each include areas of focus and do not overlap entirely.

Requirements of each management system that are common should be integrated to enable greater efficiency, effectiveness and consistency.

EXAMPLE 1 Documentation requirements or management responsibilities are supported by the common requirements across all management system standards. However, the requirements of each standard should be carefully considered to take into account any specific changes made to the common text.

EXAMPLE 2 The requirements for incident management in an SMS have a lot in common with the requirements for information security incidents in an ISMS. It is possible to integrate these requirements.

The organization can define the scope of its SMS as geographically or organizationally identical or overlapping with the scope of other management systems. The scope of each management system should be considered separately and be described relevant to its focus and to meet the requirements for scope of the specific standard. It is not necessary to describe the scope of each management system in the same way. For example, an SMS requires a description of the services included in the scope; an ISMS for ISO/IEC 27001 requires a statement of applicability with its version to be included in the scope statement.

NOTE ISO/IEC TR 20000-7 provides guidance on the integration of ISO/IEC 20000-1, ISO 9001 and ISO/IEC 27001. ISO/IEC 27013 provides guidance on the integration of ISO/IEC 20000-1 and ISO/IEC 27001.

Annex A
(informative)

Scenario based scope definitions

A.1 General

A.1.1 Introduction

The types of organizations that can seek to conform with the requirements specified in ISO/IEC 20000-1 can include:

a) an organization providing services to internal customers;

b) an organization providing services to external customers;

c) an organization providing services to both internal and external customers.

The following examples illustrate the type of scope definitions suitable for an SMS that fulfils the requirements specified in ISO/IEC 20000-1. In the figures, the arrows indicate that a service flows from the organization to its customer(s) as well as from the organization's suppliers to the organization. To simplify the figures, operational activities are not shown. The examples are designed to demonstrate the relationships that can occur between an organization, its customers and suppliers of the different types and the appropriate scope of an SMS in each case.

Many organizations have complex service supply chains with multiple parties providing service components or operating services or processes in support of the organization's SMS. The scenarios in this annex show both simple and more complex service supply chains. In many organizations, there can be a combination of insourced and outsourced services.

When looking at the scope of an SMS and the applicability of ISO/IEC 20000-1 to an organization, the context of other parties within the service supply chain is important in determining applicability and clarifying the scope statement. For instance, if an external supplier delivers services to multiple customers this is relevant to assessing the scope for that external supplier. It is not relevant to the scope of an organization that is a customer of that external supplier.

A.1.2 Framework for the scenarios

The scenarios in this annex provide some possible scope alternatives, representing key principles and some common examples. They do not represent an exhaustive list of scope definitions.

A complex service supply chain (Figure A.1) is used throughout this annex as a framework for the scenarios. The scenarios presented can stand alone. They also examine the way different organizations may interact in a more complex environment.

Figure A.1 introduces a "service integrator" organization. A service integrator provides services related to coordinating activities of multiple parties in a complex service supply chain. A service integration function may be provided by the organization itself or outsourced to an external provider.

NOTE 1 "Service integrator" is defined in ISO/IEC 20000-10 as an 'entity that manages the integration of services and service components delivered by multiple suppliers.'

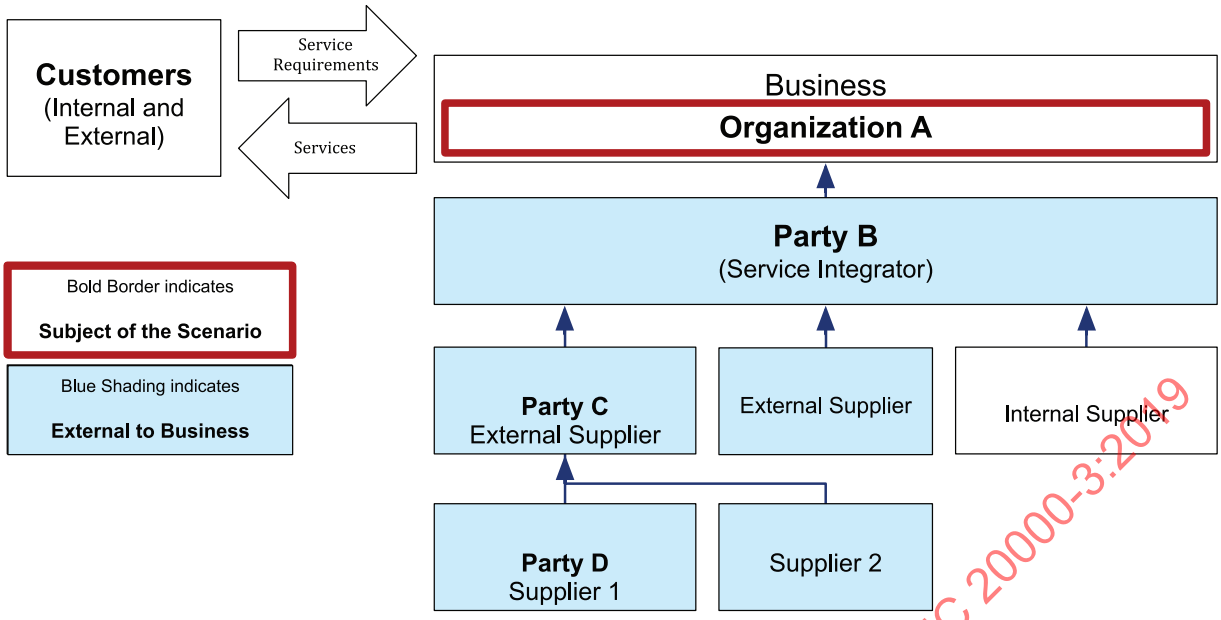

Figure A.1 — Framework for the scenarios — A complex service supply chain

It is increasingly common for organizations to have multiple suppliers with complex service supply chains. Looking at the complex service supply chain in a modular way and examining the specific scope of each organization can simplify the scope definition.

NOTE 2 In the scenarios, the term "Party" is used to describe an entity that may be an "organization" seeking to demonstrate conformity with ISO/IEC 20000-1 or an "other party" acting in another role. For clarity, a bold border shows the subject "organization" of the scenario that wishes to demonstrate conformity to ISO/IEC 20000-1.

A.2 Simple scenarios

A.2.1 Scenario 1 — Internal delivery

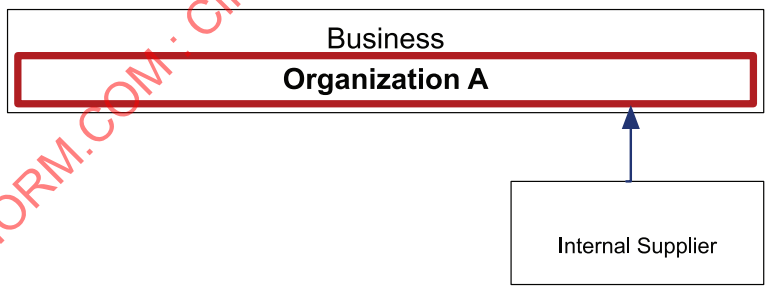

Figure A.2 — Internal service delivery

Scenario 1 (Figure A.2) shows an example of a simple service supply chain. Organization A is seeking to demonstrate conformity with ISO/IEC 20000-1 and delivers all activities except for some financial management services. There is a single internal supplier that supplies shared financial services for the business, including Organization A. The customers of Organization A are limited to the internal customers of the business.

Conformity can be demonstrated provided that:

a) Organization A fulfils all requirements of ISO/IEC 20000-1 for the services included in the scope of their SMS;

b) Organization A can demonstrate controls for the internal supplier.

The organization has direct accountability for delivering the SMS. Top management shall control the internal supplier as described in ISO/IEC 20000-1:2018, 8.2.3.

The scope definition can be: The SMS of <Organization A> that supports the delivery of <services> to internal customers in the business.

A.2.2 Scenario 2 — Simple service supply chain

A.2.2.1 Background

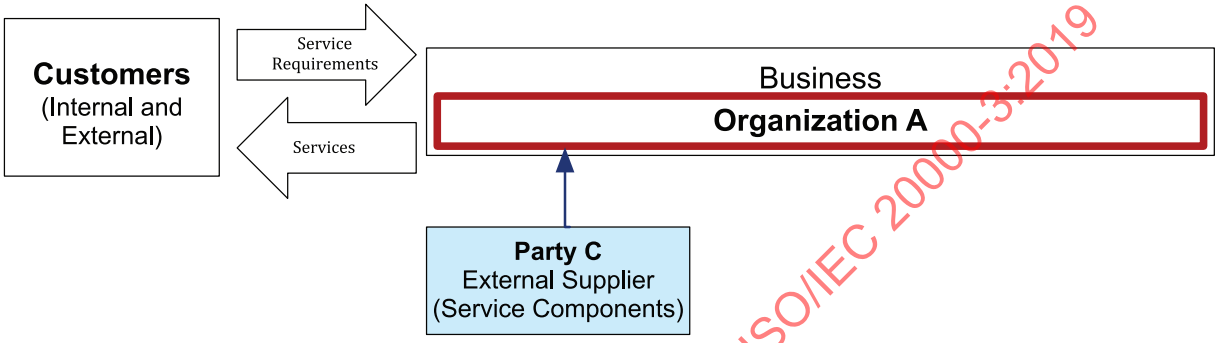

Figure A.3 — Simple service supply chain

For Scenario 2 shown in Figure A.3, we consider Organization A with an external supplier (Party C) providing service components in support of the SMS of Organization A.

Organization A may achieve conformity for the scope of services that it supplies to its customer(s), based on the principles described in 6.7.

A.2.2.2 Is the scope of Organization A limited to IT services?

No. For example, Organization A may deliver logistic services and the external supplier provide related customer care services. All requirements specified in ISO/IEC 20000-1 are generic and are intended to be applicable to all organizations regardless of the nature of the services delivered.

A.2.2.3 Can there be more than one externally supplied service or more than one supplier for this scenario?

Yes. The number of services or service components supplied by the external supplier and the number of suppliers does not affect the scope of the SMS provided that the organization can demonstrate supplier management and control of parties involved in the service lifecycle according to ISO/IEC 20000-1:2018, 8.3.4 and 8.2.3.

A.2.2.4 Can services provided directly to the customer by another party be included in the SMS?

No. The services provided directly to the customer by another party and not by the Organization A are not in scope of the SMS.

When the customer engages a supplier directly there is a contract or agreement that is managed by the customer. Therefore, the controls for all parties cannot be demonstrated by Organization A.

A.2.2.5 Can internal and external customers be supported within the SMS of Organization A?

Yes. Provided the internal and external customers are included in the scope of the SMS, and the requirements of ISO/IEC 20000-1 can be met, it does not matter whether the customers are internal or external.

The scope definition can be: The SMS of <Organization A> that supports the delivery of <services> to internal and external customers in business.

A.2.2.6 Can Party C also demonstrate conformity?

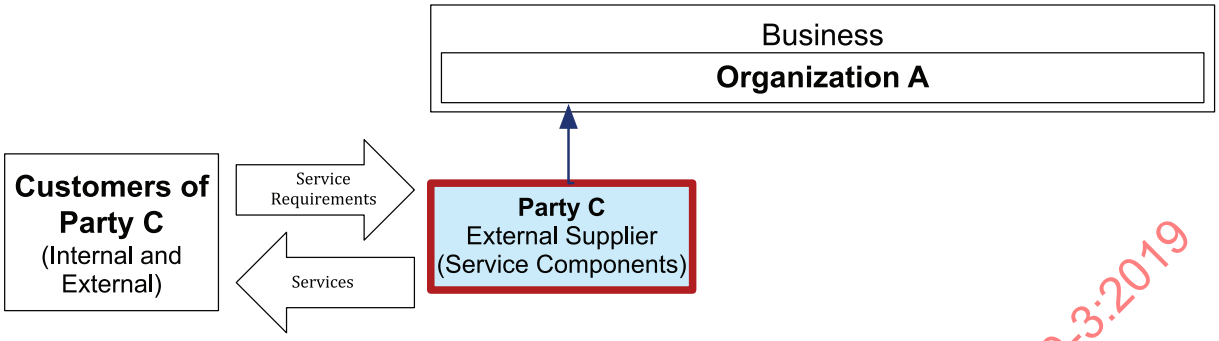

Figure A.4 — External supplier in a simple service supply chain

Yes, because the SMS of Organization A and the SMS of Party C are mutually exclusive, the scopes will be different.

Party C (Figure A.4) can seek conformity provided it fulfils all the requirements specified in ISO/IEC 20000-1 for their SMS. This is not in conflict with any ISO/IEC 20000-1 conformity by Organization A because Organization A can demonstrate controls for activities Party C performs for Organization A, not their internal activities or processes.

The scope definition can be: The SMS of <Party C> that supports the delivery of <services> to <customers>.

A.2.2.7 Can Party C provide services to more than one customer?

Yes. Party C's SMS can include services provided to multiple customers.

A.2.2.8 Can Party C be both a supplier and a customer?

Yes, when a customer is also acting as a supplier. The only impact to the scope of the SMS is ensuring Party C is included in the scope as a customer. In the context of the SMS of Party C, it is Party C that is considered as the organization.

Organization A should demonstrate evidence of management and control of Party C as a customer acting as a supplier according to ISO/IEC 20000-1:2018, 8.2.3 and 8.3.4.

A.2.2.9 Can internal suppliers be treated the same way?

Yes, the scope of the SMS for Organization A, as shown in Figure A.5, does not change based on the suppliers.

The controls for the internal supplier should be demonstrated by Organization A in the same way as an external supplier. However, the supplier management requirements in ISO/IEC 20000-1:2018, 8.3.4 are different for internal and external suppliers.

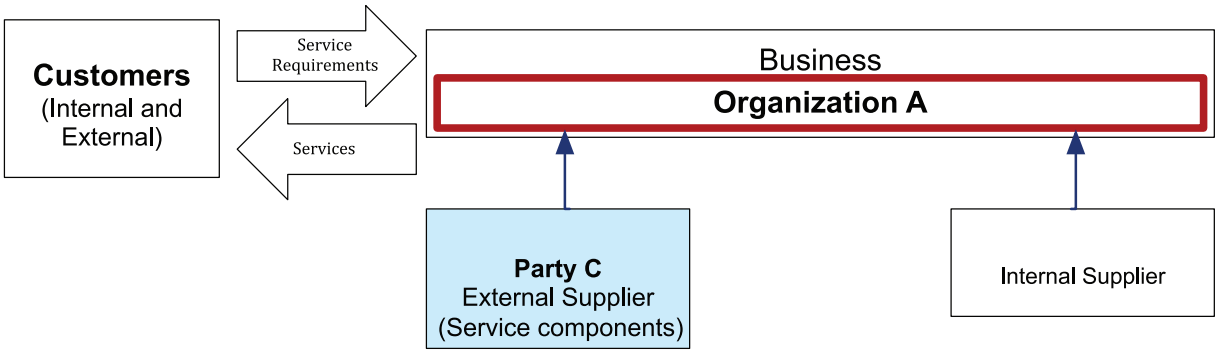

Figure A.5 — Scenarios with limited outsourcing

A.3 Scenarios with outsourced components

A.3.1 Scenario 3 — Outsourced components

A.3.1.1 Background

Scenario 3, illustrated in Figure A.6, is similar to Scenario 2, but a service and parts of processes are operated by an external supplier (Party C). This involves operating part of the incident and service request management processes on behalf of Organization A. Although the external supplier's service is used by all the internal customers in the business, the contract is between Organization A and Party C.

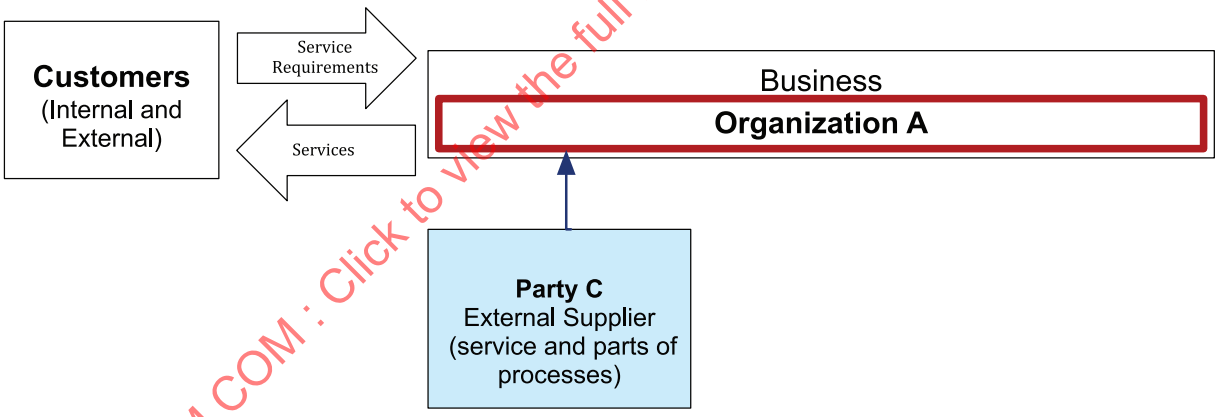

Figure A.6 — Scenario 3 — Simple service supply chain for services and processes

A.3.1.2 Can Organization A demonstrate conformity?

Yes, if the organization can demonstrate controls for Party C as in ISO/IEC 20000-1:2018, 8.2.3.

A.3.1.3 What is the scope definition for Organization A?

The scope definition can be: The SMS of <Organization A> that supports the delivery of <services> to <Customers>.

Although Party C operates a service and parts of processes, this scope definition is valid if Organization A has retained controls for Party C. The scope definition should not include the name of Party C because it is a third party and not relevant to the scope of the SMS.

In Scenario 3, Organization A can provide evidence that demonstrates controls for Party C. Where one party would seek to rely on another party for supporting evidence, it is good practice for this to be included in the contract or agreement.

A.3.1.4 Can Party C also demonstrate conformity?

Yes, if Party C can fulfil all the requirements specified in ISO/IEC 20000-1 for the scope of its own SMS. For this scenario, that should include the processes and capabilities to operate a service and parts of processes for Organization A. Even though the service provided by Party C to Organization A only covers two processes, Party C should be able to demonstrate conformity to all requirements specified in ISO/IEC 20000-1.

Party C can seek conformity for an SMS with a scope that includes other customers that fulfil the requirements specified in ISO/IEC 20000-1.

A.3.2 Scenario 4 — Suppliers, lead suppliers and sub-contracted suppliers

A.3.2.1 Background

Often a supplier can have sub-contracted suppliers to deliver the required services. Alternatively, when an organization has several suppliers, the organization can appoint one supplier as the lead supplier. As illustrated in Figure A.7, Party C is acting as the lead supplier in this scenario. Organization A and lead supplier (Party C) should have a direct relationship and a contract.

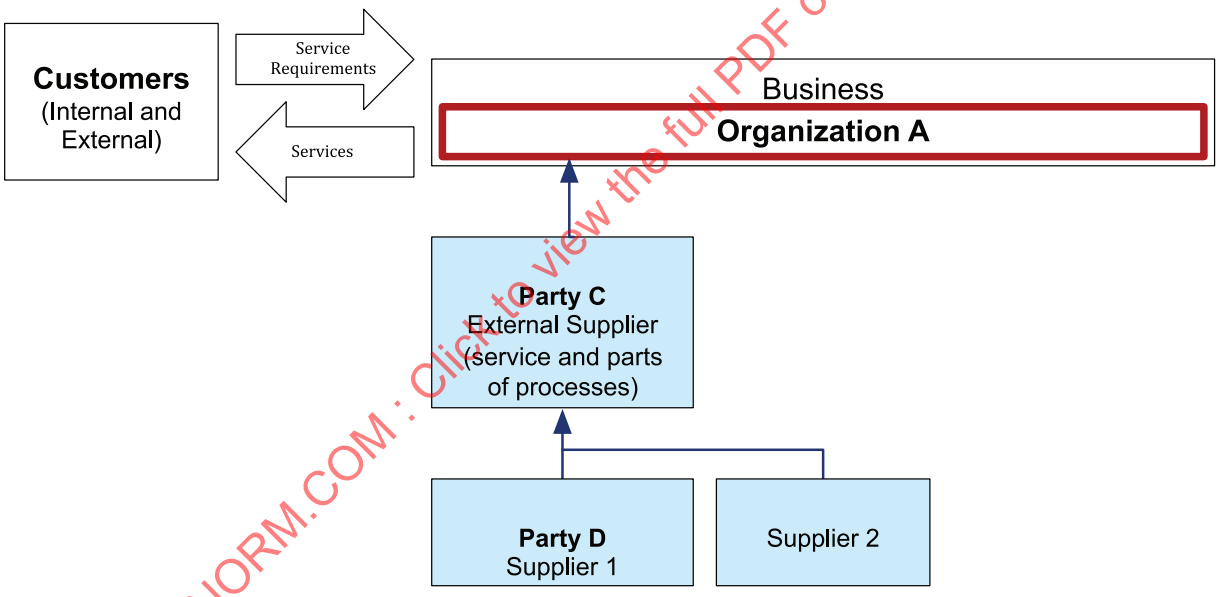

Figure A.7 — Scenario 4 — Relationship with lead suppliers and sub-contracted suppliers

Under the terms of the contract with Organization A, the lead supplier (Party C) should manage the sub-contracted suppliers (e.g. Party D, Supplier 2). The sub-contracted suppliers should have a contract with the lead supplier, not with Organization A. There should not be a direct relationship between the organization and the sub-contracted suppliers.

The controls for the lead supplier (Party C) are determined in the same way as if it were a single supplier to Organization A. The controls for the sub-contracted suppliers are the responsibility of the lead supplier (Party C). Organization A would control the lead supplier (Party C) according to ISO/IEC 20000-1:2018, 8.2.3.

A.3.2.2 What is the scope definition for Organization A?

The scope definition can be: The SMS of <Organization A> that supports the <services> to <internal and external customers>.

A.3.2.3 Can Party C demonstrate conformity?

If Party C wants to seek conformity, it should demonstrate control of Party D and Supplier 2 as described above.

A.4 Scenarios with complex service supply chains

A.4.1 Scenario 5 — Extensive outsourcing

A.4.1.1 Background

Organization A provides services to internal customers. Organization A's business process outsourcing services and cloud services are outsourced to Party C. The incident management, service request management and problem management processes are also outsourced to the external supplier, Party C. This is illustrated in Figure A.8.

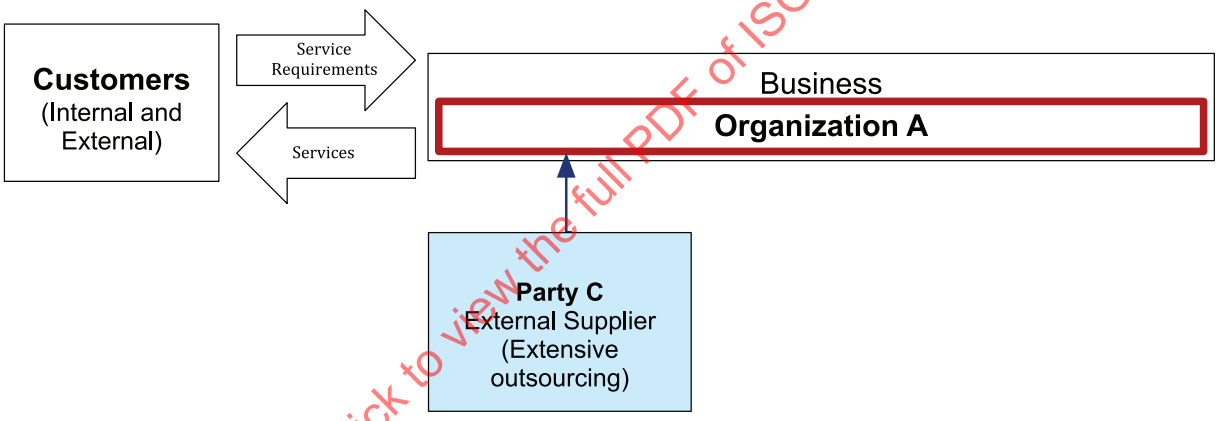

Figure A.8 — Scenario 5 — Simple service supply chain for extensive outsourcing

A.4.1.2 Can Organization A demonstrate conformity?

Yes, provided they can fulfil all requirements of ISO/IEC 20000-1 either:

a) directly for processes managed internally;

b) through applying controls to Party C.

The fact that the Organization A is extensively outsourced does not affect their ability to manage the delivery of services to their customers provided they fulfil all requirements of ISO/IEC 20000-1. Party C can deliver many of the services and processes, but Organization A can still fulfil the requirements of ISO/IEC 20000-1 by demonstrating control for Party C. Organization A should directly fulfil ISO/IEC 20000-1:2018, Clauses 4 to 5.

The scope definition can be: The SMS of <Organization A> that supports the delivery of <services> to <Internal and external customer(s)>.

Although Party C operates a service and parts of processes, this scope definition is valid if Organization A has retained controls for Party C. The scope definition should not include the name of Party C because it is a third party and not relevant to the scope of the SMS.

A.4.2 Scenario 6 — Internal service integrator

A.4.2.1 Background

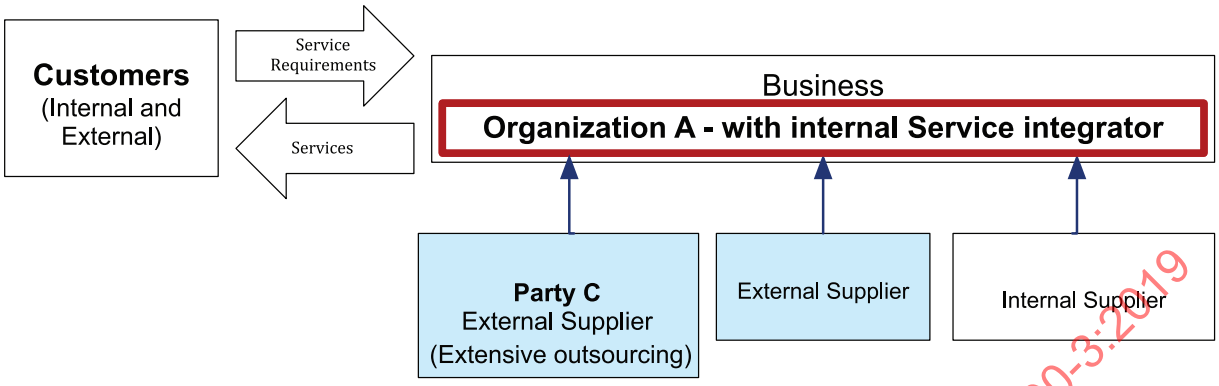

Figure A.9 — Scenario 6 — Internal service integrator

In Scenario 6, Organization A retains support for financial application services.

All other services required by Organization A are outsourced to internal and external suppliers.

Scenario 6 introduces service integration. It includes a service integrator function within Organization A. Organization A has elected to implement service integration to manage delivery of services across multiple external and internal suppliers. This was done because the decision to use outsourcing created a service supply chain that was complex, with services to the customers requiring integration of services, service components and processes provided or operated by multiple suppliers.

Scenario 6 also introduces additional customers. Organization A now supplies services to external as well as internal customers.

Scenario 6 illustrates why the implications of the service supply chain should be understood when defining the scope of the SMS. The context of the organization (ISO/IEC 20000-1:2018, Clause 4) and determining the roles of the other parties (ISO/IEC 20000-1:2018, 8.2.3.1) can affect the definition of the scope and whether conformity can be demonstrated.

All context and leadership requirements (ISO/IEC 20000-1:2018, Clauses 4 to 5) are met by Organization A. The service integrator in Scenario 6 is tasked by top management to provide:

a) supplier management of the supply chain according to ISO/IEC 20000-1:2018, 8.3.4;

b) control of parties involved in the service lifecycle for the supply chain according to ISO/IEC 20000-1:2018, 8.2.3;

c) the plans for the SMS and the services (ISO/IEC 20000-1:2018, Clause 6);

d) assurance that the end-to-end processes supporting the SMS are defined, implemented and maintained (including the process interface requirements for all parties);

e) end-to-end customer service reporting;

f) definition of the measurements and evaluation criteria required to operate the services and SMS between all parties (including the information that is transferred and the method for transfer);

g) assurance that the management of the outcomes of all parties is performed in a consistent manner in support of the service management objectives and fulfilment of the requirements of the SMS.

A.4.2.2 Can Organization A demonstrate conformity?

Yes. In Scenario 6, Organization A retains service delivery of the financial application services using all ISO/IEC 20000-1 requirements. Organization A also delivers the service integration service.

All other services delivered to the customers of Organization A are outsourced to internal and external suppliers. These services, therefore, cannot be included in the scope for Organization A.

Organization A can demonstrate conformity because:

a) the organization fulfils the requirements specified in ISO/IEC 20000-1:2018, Clauses 4 to 5;

b) the organization also meets the requirements of some other clauses of ISO/IEC 20000-1 itself;

c) Organization A demonstrates the controls for other parties for the remaining requirements;

d) the service integration function of Organization A provides controls for the other parties as specified by ISO/IEC 20000-1:2018, 8.2.3.

A.4.2.3 What is the scope definition for Organization A?

The scope definition can be: The SMS that supports the delivery of service integration and <financial application services> to <Internal and external customers> by <Organization A>.

A.4.2.4 Can the external suppliers demonstrate conformity?

Yes. Scenario 6 includes external suppliers (for example Party C) operating services and the processes required by ISO/IEC 20000-1. This is the same basis as Party C's ability to demonstrate conformity in scenario 3.

A.4.2.5 Can the external supplier demonstrate conformity across multiple customers?

The external supplier can support multiple internal and external customers in the correct circumstance. Refer to Scenario 2 for more detail.

A.4.3 Scenario 7 — Outsourced service integrator

A.4.3.1 Background

Scenario 7 is the same as Scenario 6 except that the service integrator role is now outsourced. Organization A has retained delivery of the financial application services.

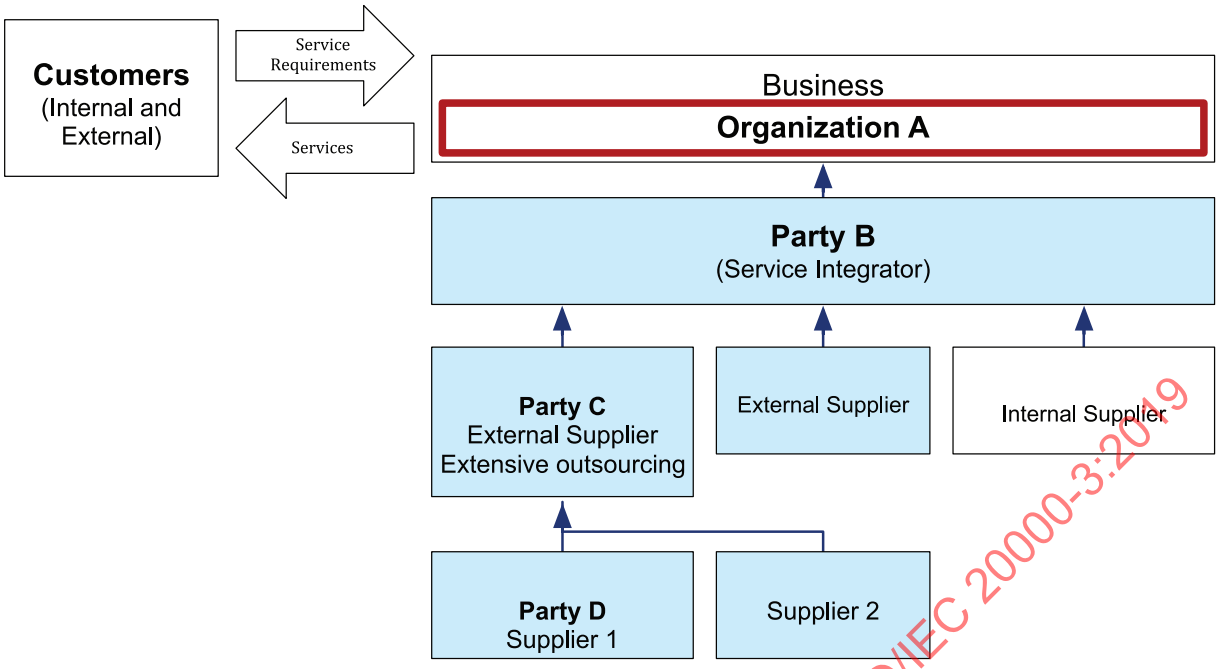

Figure A.10 — Scenario 7 — External service integrator

A.4.3.2 Can Organization A demonstrate conformity?

Organization A can demonstrate conformity if it fulfils the requirements specified in ISO/IEC 20000-1:2018, Clauses 4 to 5 itself and can demonstrate controls for other parties involved in the service lifecycle.

The scope of the SMS should include the financial application services which will demonstrate that Organization A operates these processes themselves.

The internal supplier would also be expected to recognise the service integrator has delegated process management responsibilities for Organization A. This allows consistent management of services, processes and reporting.

A.4.3.3 What is the scope definition for Organization A?

The scope definition for Organization A can be: The SMS that supports the delivery of financial application services to <Customers> by <Organization A>.

A.4.3.4 Can Party C demonstrate conformity?

Yes. In Scenario 7, the potential for conformity of external suppliers is the same as Scenario 3.

A.4.3.5 Can Party B demonstrate conformity?

For Party B to demonstrate conformity, it should provide the service integration as a service with its own SMS, directed and controlled by its own top management. It cannot merely operate the service management processes within the scope of its customer's SMS.

If both Organization A and Party B wish to demonstrate conformity, care should be taken to ensure that the scope of the SMS for each is correctly defined. Organization A cannot demonstrate conformity if they are so extensively outsourced, they no longer have distinct services in scope of their SMS. Organization A can consume the outsourced services from Party B as service components but should have their own services in the scope of their SMS to demonstrate conformity.