TECHNICAL REPORT

ISO/IEC TR 20000-5

Second edition
2013-11-01

Information technology — Service management —

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

Technologies de l'information — Gestion des services —

Partie 5: Exemple de plan de mise en application pour l'ISO/CEI 20000-1

Reference number
ISO/IEC TR 20000-5:2013(E)

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Published in Switzerland

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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. In the field of information technology, ISO and IEC have established a joint technical committee, ISO/IEC JTC 1.

International Standards are drafted in accordance with the rules given in the ISO/IEC Directives, Part 2.

The main task of the joint technical committee is to prepare International Standards. Draft International Standards adopted by the joint technical committee are circulated to national bodies for voting. Publication as an International Standard requires approval by at least 75 % of the national bodies casting a vote.

In exceptional circumstances, when the joint technical committee has collected data of a different kind from that which is normally published as an International Standard ("state of the art", for example), it may decide to publish a Technical Report. A Technical Report is entirely informative in nature and shall be subject to review every five years in the same manner as an International Standard.

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.

ISO/IEC TR 20000-5 was prepared by Joint Technical Committee ISO/IEC JTC 1, *Information technology*, Subcommittee SC 7, *Software and systems engineering*.

This second edition cancels and replaces the first edition (ISO/IEC TR 20000-5:2010), which has been technically revised. The major differences are changes in terminology to reflect international usage and realignment to the second edition of ISO/IEC 20000-1:2011.

ISO/IEC 20000 consists of the following parts, under the general title *Information technology — Service management*:

— *Part 1: Service management system requirements*

— *Part 2: Guidance on the application of service management systems*

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

— *Part 4: Process reference model* [Technical Report]

— *Part 5: Exemplar implementation plan for ISO/IEC 20000-1* [Technical Report]

The following parts are under preparation:

— *Part 6: Requirements for bodies providing audit and certification of service management systems*

— *Part 8: Guidance on the application of service management systems for smaller organizations*

— *Part 9: Guidance on the application of ISO/IEC 20000-1 to the cloud*

— *Part 10: Concepts and terminology*

— *Part 11: Guidance on the relationship between ISO/IEC 20000-1:2011 and service management frameworks*

Introduction

ISO/IEC 20000-1:2011 specifies the requirements for a service management system (SMS) to design, transition, deliver, manage and improve services. ISO/IEC 20000-1:2011 can be used by organizations of all sizes, sectors, types and many different organizational structures or business models.

This part of ISO/IEC 20000 is an exemplar implementation plan providing guidance on how to implement an SMS to fulfil the requirements specified in ISO/IEC 20000-1:2011. The intended users of this part of ISO/IEC 20000 are service providers, but it can also be useful for those advising service providers on how to implement an SMS.

This part of ISO/IEC 20000 includes advice for service providers on a suitable order in which to plan, implement and improve an SMS using, as an example, a generic three-phased approach to manage the implementation. The service provider may choose their own sequence to implement the SMS. Also included is advice on the development of a business case, the project initiation and other activities that are recommended for the implementation to be successful.

The phases described in this part of ISO/IEC 20000 do not include changes to the intended scope of the service provider's SMS. The scope itself is not subject to phased changes as a result of adopting the advice in this part of ISO/IEC 20000. Instead, each phase should improve the SMS in alignment with the service provider's agreed scope, building on the results of the previous phase.

The main activities for the development of the business case and initiation of the implementation project are shown in Annex A. A list of the main activities to implement the SMS based on the requirements specified in ISO/IEC 20000-1:2011, in three phases, is shown in Annex B. Many of the activities described in this part of ISO/IEC 20000 are intended to be met by actions over more than one phase, with each phase building upon the achievements of the earlier phase. Once the final phase is completed, the service provider's organization can achieve the benefits of an SMS that fulfils the requirements specified in ISO/IEC 20000-1:2011. Supporting information for the implementation project is also provided.

Annex C provides examples of policies to illustrate what a service provider can want to put in place. Because policies depend on the organization and the strategy of the service provider, these example policies can be tailored to suit the organizational requirement.

Annex D provides guidance on documentation management. Annex E includes templates for some of the documents specified in ISO/IEC 20000-1:2011 that can be amended to suit individual circumstances.

Information technology — Service management —

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

1 Scope

This part of ISO/IEC 20000 provides guidance for an approach to implement an SMS that can fulfil the requirements specified in ISO/IEC 20000-1:2011. This part of ISO/IEC 20000 illustrates a generic, three-phased plan to manage implementation activities, taking into consideration the design, transition, delivery, management and improvement of services. The service provider can tailor the phases to suit its needs and constraints.

This part of ISO/IEC 20000 can be used together with the other parts of ISO/IEC 20000.

2 Normative references

The following documents, in whole or in part, are normatively referenced in this document and are indispensable for its application. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO/IEC 20000-1:2011, *Information technology — Service management — Part 1: Service management system requirements*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO/IEC 20000-1:2011 apply.

4 Benefits of a phased approach

Although the demonstration of conformity to ISO/IEC 20000-1:2011 is only possible once all the requirements of the standard are fulfilled, there can be many reasons to opt for a phased approach to implementation. The phases are based on identification of a suitable sequence of improvements, each designed to assist in fulfilling one or more of the requirements specified in ISO/IEC 20000-1:2011. This can allow better and more efficient risk management than attempting to make all the improvements and necessary changes in a single phase.

A phased approach can allow costs to be incurred over a longer period of time. This can make it easier to fund the SMS implementation using operational budget instead of capital budget. It can also generate benefits earlier, encouraging management commitment and funding of later phases.

Additional benefits can include:

a) allowing the service provider to gain experience with a smaller set of implementation activities, rather than attempting everything in one big phase;

b) explaining each phase in a way that can be understood easily by all parties involved in or affected by the changes;

c) planning the phased use of resources that can be scarce, expensive or already committed to other projects;

d) allowing lessons learnt to be used in later phases of implementation;

e) enabling the service provider to build internal expertise to implement the project;

f) achieving key objectives of the SMS in a planned sequence.

5 Approach

5.1 Overview

To identify a suitable approach to fulfilling the requirements of ISO/IEC 20000-1:2011, the implementation project should take into account some important factors. These factors can include the following:

Familiarity with ISO/IEC 20000

a) the understanding of ISO/IEC 20000-1:2011 principles, purpose and requirements;

b) the scope and applicability of ISO/IEC 20000-1:2011;

The customer perspective

c) the objectives and the needs of the business and customers using the services;

d) the users' experience with the current services;

The service provider's capabilities

e) the service provider's business model, organizational structure and objectives;

f) the responsiveness and flexibility of the service provider when changes are necessary;

g) the expected major changes to be made by or made to the service provider;

h) other priorities of the service provider, which can conflict with the requirements of ISO/IEC 20000-1:2011;

i) the processes and contracts used to manage suppliers;

j) the service provider's ability and readiness for the change;

The current situation

k) the support of top management;

l) the management of risks related to current and planned services;

m) the current status of the SMS;

n) the current effectiveness of service management processes;

o) the clarity and suitability of current accountabilities, authorities, roles and responsibilities;

p) the current status of the supporting service management technology;

q) the current status of participating personnel's readiness for the change;

The expected situation

r) the need for both process and service improvement is established;

s) the financial and participating personnel's availability for each phase or any constraints that can affect the project;

t) the statutory and regulatory requirements and contractual obligations are known.

5.2 Key considerations

The service provider should ensure that the SMS is implemented with the appropriate design, transition, delivery, management and improvement structure to facilitate the delivery and management of services that can fulfil the service requirements. The implementation of service management processes should support the priorities of the service provider and customers.

To attain support and goodwill from the customer, the service provider should start by establishing and implementing those processes where the customer or the service provider experiences difficulties or can see the most immediate benefit. In addition, the service provider should consider the impact of the organizational change on the personnel working with or supporting the SMS. For example, the service provider should ensure that sufficient time is allocated for communication and training. There should be sufficient time for people to understand how their day to day activities are to change and the long term benefits of these changes for the organization. This cannot be achieved if the implementation of the SMS relies mainly on the production of documents and procedure descriptions. However, documents and procedure descriptions remain important to successful implementation.

One of the risks during implementation of the SMS is that the production of documents can be considered more important than changing the way people work. The service provider should focus on understanding the specific context and business needs of a particular organization when implementing the SMS. Documents and records specified in ISO/IEC 20000-1:2011 should be considered as a tool that can support and facilitate the changes to organizational practices. They should be appropriate to the size and complexity of the service provider's organization.

Each phase in this part of ISO/IEC 20000 builds on the achievements of the previous phase. Each phase facilitates important and measurable evidence of achievements against the requirements specified in ISO/IEC 20000-1:2011. The phases described in Clause 6 of this part of ISO/IEC 20000 are recommended but can differ from organization to organization.

5.3 Understanding ISO/IEC 20000-1:2011

The success of an SMS implementation relies on the understanding of the service provider's personnel regarding:

a) requirements and guidance in ISO/IEC 20000;

b) service management objectives;

c) service requirements;

d) any new or changed practices, roles or organizational structure to support the SMS.

5.4 Scope and applicability

In the planning activity, the service provider should ensure that ISO/IEC 20000-1:2011 is applicable to the service provider's organization. This applicability should take into account the scope of the services, activities and the contribution of suppliers.

The service provider should perform an initial analysis to identify and agree to a suitable scope for its SMS, using the guidance on scope definition and applicability provided in ISO/IEC 20000-3:2012.

5.5 Changes to scope

A service provider can plan to implement an SMS based on the requirements specified in ISO/IEC 20000-1:2011 for only part of its services. The service provider can decide in the future to expand the scope of the SMS within the organization. It should be noted that the guidance in this part of ISO/IEC 20000 is based on the defined scope being unchanged during all three phases, not on a phased increase in scope of the SMS. When a service provider decides to increase the scope of the SMS, it can be useful to again follow the guidance in this part of ISO/IEC 20000 from Phase 1 for the additional scope.

Implementation timeframes can be shortened in future improvement efforts as the service provider gains practical experience and can extend what has already been done to the larger scope.

5.6 Project support and commitment

The successful implementation of an SMS is dependent on management commitment through all phases. Establishing management support and commitment should be achieved as soon as possible. Based on initial analysis, a business case can help clarify understanding and establish commitment. It can help sustain support and commitment for each phase and therefore minimize the risks to the success of the planned changes.

Management ensures a focus on service requirements and constraints, including statutory and regulatory requirements and contractual obligations. Additionally, management should ensure appropriate priorities are allocated. The service provider should aim to maintain the understanding and the involvement of all interested parties during all phases, not just during the first phase.

5.7 Gap analysis

The service provider should perform a detailed analysis to evaluate the gap between the service provider's current organization and the requirements specified in ISO/IEC 20000-1:2011 for the defined scope of the SMS. This should include the identification and review of:

a) management systems that have already been established and implemented, including the scope of each;

b) existence and quality of both documents and records, including:

   1) policies;

   2) service management plan;

   3) service management processes;

   4) procedures;

   5) service level agreements (SLAs);

   6) supplier contracts;

   7) records of service improvement achievements by the service provider and suppliers;

c) actual working practices;

d) service reviews, internal audits, conformity assessments;

e) workload characteristics and actual achievement against service targets;

f) recent or current service improvement plans;

g) complexity of the organization structure;

h) accuracy of the definitions of roles, responsibilities and authorities of the staff;

i) skills and competencies of the staff;

j) service provider's culture;

k) any major changes planned to the organizational structure, services and/or technology;

l) relevant statutory and regulatory requirements and contractual obligations.

The level of detail at which the gap analysis is conducted should be tailored to the needs of the service provider and of the service provider's customers.

The outcome of the gap analysis exercise should be an assessment of the readiness of the service provider to implement ISO/IEC 20000-1:2011 in terms of financial readiness, people readiness, risk readiness, etc.

5.8 Developing the business case

The business case for the SMS should include:

a) description of the business need and objectives the SMS is intended to fulfil;

b) proposed scope of the SMS;

c) constraints and assumptions affecting the SMS or the implementation;

d) qualitative and quantitative benefits of the SMS, including:

   1) improvement to services or achieved service targets as a result of improved service management processes;

   2) changes to workloads, changes to processes, increased use of the service or proactive reduction in support needs;

   3) the ability to visibly support the business strategy, with opportunities to improve the efficiency of services in all areas, leading to improvements in cost, quality and agility;

   4) the ability to manage suppliers and partners more efficiently and effectively and to better understand the dependencies, risks and interfaces of the supply chain;

   5) the ability to be more responsive to customers, with services that are aligned with business needs and customer requirements;

   6) increased customer satisfaction of the delivered services demonstrating incremental improvement;

   7) helping build a long term relationship between the service provider and customers and also between the service provider and suppliers through their involvement through each phase;

   8) potential cost savings, overall and unit costs;

   9) direct or indirect benefits such as customer satisfaction, personnel satisfaction, reduced business risks;

   10) return on investment;

e) costs, including:

   1) estimation of resources, including technology and people requirements;

   2) costs and use of external resources;

f) risk assessment and recommendations for risk management covering organizational change, financial and technical risks;

g) description of how the costs and benefits of the implemented SMS should be evaluated;

h) recommendations on formal, independent conformity assessment;

i) timescales;

j) interested parties who should be involved in or affected by the implementation;

k) proposed terms of reference;

l) project support, commitment and management.

5.9 Implementation

In order to ensure a successful implementation of the SMS, the service provider's objectives and policies, culture and structure should be understood. In addition, any other relevant standards, contractual obligations, statutory and regulatory requirements that can impact the delivered services should be considered.

The appointment of a qualified project manager to lead the implementation of the SMS should be treated as a critical aspect of a successful implementation. This person should have both appropriate project management and service management expertise.

In addition, a group of people should be identified, including management representation, which should have the responsibility to oversee the project, e.g. a project steering committee. The roles, authorities and responsibilities of this group should be agreed before the project starts. Although this part of ISO/IEC 20000 refers throughout to 'the project', in practice there can be several projects working closely together during each phase of the implementation. The coordination and management of multiple projects can be a part of this group's responsibilities.

During the project, this group should be accountable for the implementation of the SMS.

It is important to ensure that at the end of each phase, lessons learnt are captured and provided for the continual improvement of the SMS. Lessons learnt should be used to improve the work in the next phase. After the last phase is completed, it is important to ensure the continual improvement of the SMS is maintained. The group that had responsibility for the implementation of the SMS can become responsible for the continual improvement of the established SMS or a new group can be created.

5.10 Project readiness

Based on the business case and gap analysis, the project manager should take into account the following when developing the project plan:

a) scope of the SMS;

b) timeframe;

c) resource concerns such as:

   1) skills and competence of the implementation project team;

   2) accommodation, travel, facilities and tools to support the implementation;

d) funding sources for the implementation project and estimates including any known assumptions and constraints on funding the implementation, e.g. capital expenditure not yet approved;

e) risks and issues that can cause conflicting priorities;

f) identification and early engagement of project interested parties that are recipients of the project deliverables;

g) the service management maturity of the organization;

h) the receptiveness to change within the organization and the ability of the organization to absorb and manage the changes successfully;

i) communication;

j) procurement;

k) review procedures for:

   1) organizational and project objectives with related measurements and reporting requirements;

   2) project's business, technical, functional and resource requirements;

3) organizational and project processes such as: quality assurance, quality control, configuration management, change management and related process requirements.

5.11 Project team

To ensure a smooth transition throughout the three phases described in Clause 6 of this part of ISO/IEC 20000, the project team should have strong leadership and expertise in establishing and implementing policies, service management processes and continual improvement activities.

Selecting personnel for the project team who are also involved in existing day to day operational activities can lead to conflicting priorities. This is particularly important when day to day workloads are unpredictable.

The project team should have expertise in and be responsible for:

a) designing and implementing the SMS;

b) defining the procedure for developing and implementing new or changed processes;

c) developing, implementing and integrating processes within the scope of the SMS;

d) minimizing impact of the SMS implementation on day to day activities;

e) testing and measuring the effectiveness, efficiency and continual improvement of processes;

f) managing organizational change, communication and training.

The project team should be aware that the effectiveness of the SMS depends on the integration of the service management processes. Defining the processes and understanding their integration at the beginning of the project can help ensure the coherent implementation of the SMS based on the requirements specified in ISO/IEC 20000-1:2011.

Service owners, process owners and operational managers should have an important role in identifying and managing changes to improve processes and services. As process owners and service owners are identified, they should contribute to and support the project team.

For some service providers, the process owner can often be the same individual for multiple processes. The process owner role can sometimes also be combined with the process manager role. For other service providers, there can be benefits to each process owner only having responsibility for a single process or involving people with increased process specialization and responsibilities. Service providers should give consideration to coordinating this larger group of people, especially if they are based at different locations or focused on the delivery or management of different types of services.

Operational managers, if different from the process owners and service owners, should also be represented on the project team. This can ensure they are kept aware of any changes affecting operations. Their involvement can also ensure that the plans are realistic and that the plans minimize the impact on day to day operations.

6 Overview of implementation phases

Figure 1 represents a high level view of the clauses of ISO/IEC 20000-1:2011 in terms of their relation to the three implementation phases described in this part of ISO/IEC 20000. These phases are described in greater detail in Table 1 in Section 7.

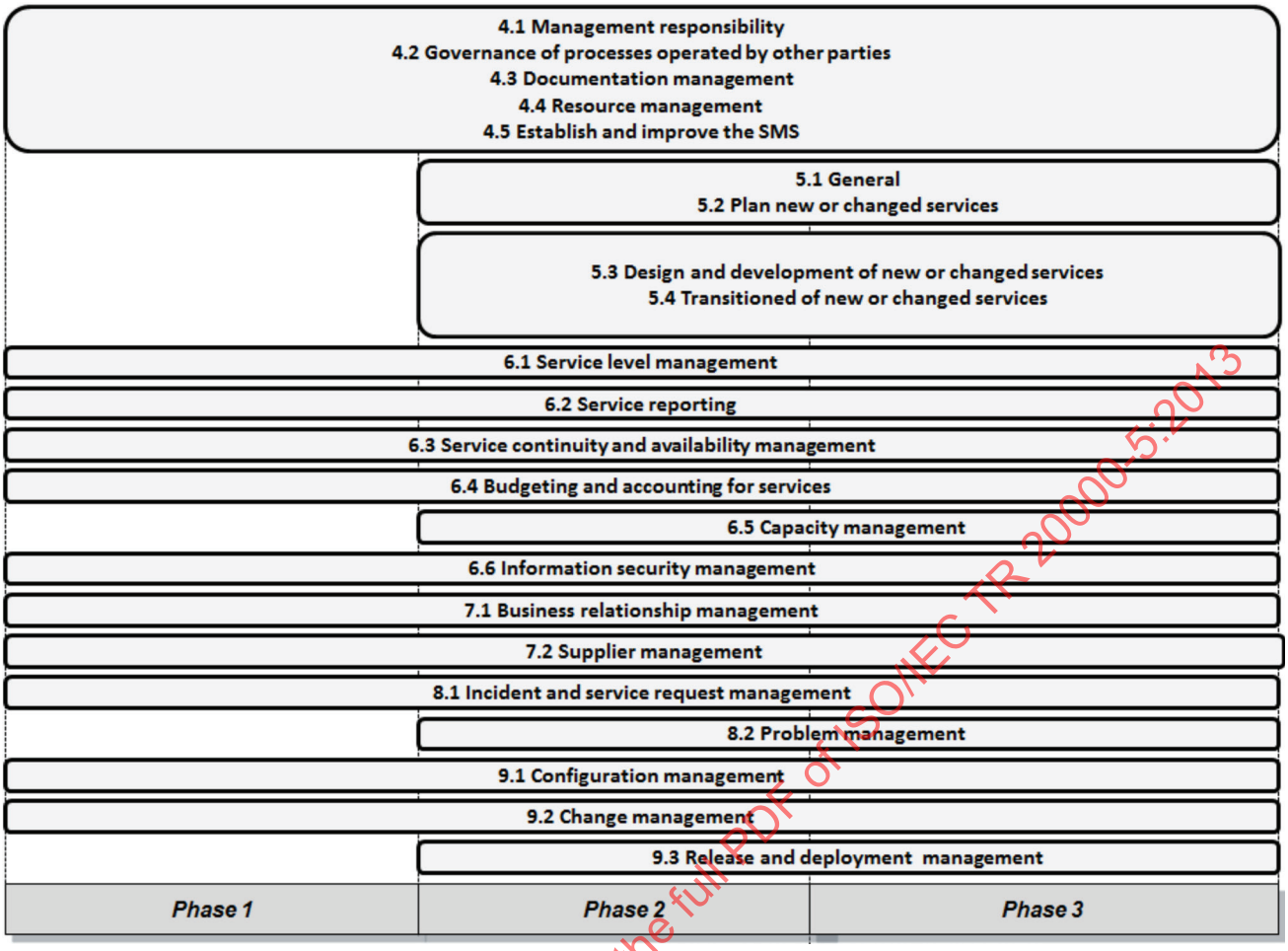

Figure 1 — Clauses of ISO/IEC 20000-1:2011 across each of the three phases

Figure 1 represents a generic approach and a service provider should adapt these phases to suit their individual circumstances based on the output from the initial gap analysis recommendations.

If the service provider has already implemented some processes, these processes can be improved beginning in Phase 1. During later phases, additional improvements to these processes can be completed, such as developing effective interfaces to new or improved processes.

The service management processes should be:

a) defined;

b) documented;

c) implemented;

d) operated and managed;

e) measured;

f) reviewed / audited;

g) improved to support service management objectives, align with policies or meet customer requirements.

The Plan-Do-Check-Act (PDCA) methodology should be used for planning, monitoring, reviewing and improving the SMS, including the service management processes and the services.

7 Taxonomy of each phase

7.1 Summary of activities in each phase

The table below introduces a summary of activities in each phase. This summary is the basis for the definition of the three implementation phases described in Annex B.

Table 1 — Summary of activities in each phase

Phase 1 characteristic: React to service disruptions or requests quickly and effectively.	**Phase 2 characteristic: Anticipate service disruptions or requests and provide a reliable service.**	**Phase 3 characteristic: Fully integrate processes and improve the SMS and services.**
Incorporates the findings of the gap analysis and the business case.	Adjustment of plans based on results of analysis at the end of Phase 1.	Adjustment of plans based on results of analysis at the end of Phase 2.
SMS structure established and implemented including service management plan, initial policies, commitment/accountability, major incident management/reactive processes.	Revision of policies, additional processes, integration of existing processes, procedures and other supporting documentation.	Revision of policies, final processes, integration of all processes, documentation of detailed procedures and supporting documents.
On completion of Phase 1, the service provider has implemented policies, processes and procedures to fulfil the requirements of ISO/IEC 20000-1 for a basic SMS. The focus includes reacting quickly and effectively to service disruptions and requests. The service provider has knowledge of all the services and related components that enable it to react to these service disruptions or requests.	On completion of Phase 2, the service provider has implemented activities, processes, procedures and control CIs that enable it to anticipate and avoid service disruptions. The service provider has put in place initial measurements. The service provider has stabilized its processes in order to provide a more reliable service to its customers. It has begun discussing with its customers their future service requirements, in order to incorporate their needs into its plans.	On completion of Phase 3, the service provider has a good understanding of the customer's business and service requirements. Measurement of the effectiveness and efficiency of the services and processes is in place, and measurements can include customers' satisfaction and continual improvement of delivered services. The service provider has understood and established business relationships with both suppliers and customers. As a result, the service provider should now be able to demonstrate conformity to all requirements of ISO/IEC 20000-1.
Analysis of status at the end of Phase 1.	Analysis of status at the end of Phase 2.	Analysis of the status at the end of Phase 3, including a full internal audit and, where appropriate, conformance to the standard.
By the end of Phase 1 the SMS provides the basis for Phase 2.	By the end of Phase 2 the SMS provides the basis for Phase 3.	By the end of Phase 3 the SMS provides the basis for continual improvement of the SMS and services.

7.2 Key characteristics and activities of each phase

Table 2 introduces key characteristics and activities which are aligned with Figure 1 and Annex B.

Table 2 — Key characteristics and activities of each phase

ISO/IEC 20000-1 component	**Phase 1 characteristic: React to service disruptions or requests quickly and effectively.**	**Phase 2 characteristic: Anticipate service disruptions or requests and provide a reliable service.**	**Phase 3 characteristic: Fully integrate processes and improvement of the SMS and services.**
4.1 Management responsibility	Service management policy and process specific policies and plan are defined.	Service management policy and process specific policies and plan are updated to provide a more reliable service.	Service management policy and process specific policies and plan are evaluated and updated for continual improvement.
4.2 Governance of processes operated by other parties	Processes operated by other parties are identified and contracts are reviewed to identify which ones allow the service provider to demonstrate governance of processes in Part 1, Clauses 5 to 9.	Agreement with other parties to allow service provider to demonstrate governance of all processes operated by other parties.	Processes operated by other parties are measured, monitored and controlled against agreements and policies. Reviews with other parties are in place and improvement areas are identified and prioritized.

Table 2 *(continued)*

ISO/IEC 20000-1 component	Phase 1 characteristic: React to service disruptions or requests quickly and effectively.	Phase 2 characteristic: Anticipate service disruptions or requests and provide a reliable service.	Phase 3 characteristic: Fully integrate processes and improvement of the SMS and services.
4.3 Documentation management	Service management policy, and process specific policies and objectives are documented. Implemented processes and procedures are documented. Document controls are implemented.	Service management policy, and process specific policies and objectives are updated. Additional processes, procedures and interfaces are documented and existing ones updated. Service management roles and responsibilities are documented.	Any additional service management roles and responsibilities are documented. Process and procedure documents are evaluated and updated for continual improvement. Document controls are verified and audited.
4.4 Resource management	Determine and provide resources for SMS and services. Service provider personnel understand the services offered to customers. The project team, key line managers, process owners and service owners are aware of ISO/IEC 20000, their role in service management and their responsibilities in the implementation.	Service management roles and responsibilities are agreed. Service provider personnel are aware of ISO/IEC 20000, their role in supporting the SMS and services and they are competent to perform their roles and responsibilities.	Evaluate, determine and provide any additional resources or different skill sets to support the SMS and services.
4.5 Establish and improve the SMS	Customers are identified and service requirements are documented. The scope of SMS is defined. SMS is established. The concept of continual improvement is understood.	Risks are documented and managed. SMS is implemented. Reports on the performance of the delivered processes are produced and reviewed. Improvements are identified, recorded, planned and implemented.	Effectiveness of SMS is evaluated and improved. The performance of the processes and services is monitored and corrective action taken as required. Internal audit and management reviews take place. The effectiveness of planned improvements is monitored.
5.1 **General**		Where other parties are used to develop new or changed services, suitable suppliers are identified via the supplier management process. Ensure that changes in the scope of Clause 5 are defined in the change management policy.	Changes to new or changed services that have the potential to have a major impact on services to the customer are identified. Where other parties are used to develop the new or changed services, authorities and responsibilities between the service provider and supplier are clearly defined.
5.2 **Plan new or changed services**		New or changed services are planned to fulfil the service requirements.	The plans relating to new or changed services are evaluated and agreed with the customer and interested parties.
5.3 **Design and development of new or changed services**		The new or changed services are designed and developed to meet the agreed service requirements.	New or changed services are evaluated and adjusted to meet changing service requirements, policies or business objectives.
5.4 **Transition of new or changed services**		The new and changed services are built and tested to ensure they fulfil the service requirements, prior to being deployed using the release and deployment management process.	Final test results are produced and communicated to interested parties prior to releasing and deploying processes.
6.1 Service level management	A service catalogue is in place detailing all live services and information about those services. Changes in customer and service requirements are adequately managed, controlled, approved, implemented and verified.	Targets for each service are documented in SLAs and agreed with the customer.	Performance of the service is reviewed and opportunities for improvement identified. Service reviews will be held with customers.

Table 2 *(continued)*

ISO/IEC 20000-1 component	Phase 1 characteristic: React to service disruptions or requests quickly and effectively.	Phase 2 characteristic: Anticipate service disruptions or requests and provide a reliable service.	Phase 3 characteristic: Fully integrate processes and improvement of the SMS and services.
6.2 Service reporting	Desired service reports are designed and agreed with interested parties. On need basis service reports are produced.	Service reports are produced as per design and agreement with interested parties.	Customer satisfaction and service complaint reports are produced and analysed to support decision making. Improvement actions are identified based on the findings.
6.3 Service continuity and availability management	Unplanned non-availability is investigated and action taken to understand the root cause.	Business plans, SLAs and risk assessments are used to develop an availability plan. Business plans, SLAs and risk assessments are used to develop a service continuity plan which is tested. The availability of services is measured.	Availability plans are reviewed and audited. The service continuity plan is tested and the results are used to update the plan and feed improvements. Once updated, availability and service continuity plans are agreed with the customer.
6.4 Budgeting and accounting for services	Costs are understood and tracked at a simple level.	Budgets and costs are available for each service. Indirect costs are apportioned and allocated according to the services provided.	Budgets and costs support the change management process. Adequate financial controls are in place. Budgets and costs are integrated to establish priorities and measure service performance.
6.5 Capacity management		Service requirements are used to develop a capacity plan. The capacity of services and CIs are measured.	Changes to services and CIs that affect the capacity of the service are identified and managed. Capacity monitoring and plans are evaluated and used as input for service and process improvements.
6.6 Information security management	Information security policy is defined.	Information security controls are defined Information security events are recorded and analysed.	Information security controls are monitored and audits take place. Information security objectives are revised based on controls and audit results.
7.1 **Business relationship management**	Customers and users are identified and documented. Complaints procedure is implemented.	The service performance is reviewed with the customer. Customer satisfaction is measured and managed.	Service improvement plan to improve customer satisfaction is evaluated and implemented.
7.2 **Supplier management**	Suppliers are identified and documented.	Service targets for services from suppliers are included in a new contract (if revisions are necessary).	The performance of the services delivered by the service provider is evaluated and reviewed with the suppliers and improvement actions are identified based on the findings.
8.1 **Incident and service request management**	Incidents and requests are recorded, resolved and analysed.	Personnel improve incident resolution and service request fulfilment by the use of available information.	Service improvement plan to improve incident resolution and service request fulfilment performance is evaluated and implemented.
8.2 **Problem management**		Trend analysis is performed on the incident records.	The effectiveness of problem resolution is monitored and evaluated on an ongoing basis.

Table 2 *(continued)*

ISO/IEC 20000-1 component	Phase 1 characteristic: React to service disruptions or requests quickly and effectively.	Phase 2 characteristic: Anticipate service disruptions or requests and provide a reliable service.	Phase 3 characteristic: Fully integrate processes and improvement of the SMS and services.
9.1 Configuration management	A list of configuration item (CI) categories along with key attributes and relationships is produced.	CIs are recorded in a Configuration management database (CMDB). Appropriate controls are in place to manage new CIs and changes to the existing CIs. Change management approves the introduction, deletion or changes to CIs. Auditing of the controls used takes place. Baselines of the configuration and its CIs take place regularly.	Audits of the CIs take place.
9.2 Change management	Changes are recorded, classified and basic risk assessment and scheduling is performed. Change management policy is developed and published.	Change approval procedures are in place for all types of changes. No changes are carried out unless approved. Changes are reviewed post-implementation. Updates to CMDB occur following completion of a change.	The change management controls are audited regularly to ensure that the controls are adequate and are being enforced.
9.3 Release and deployment management		Releases are planned in conjunction with the customer and reviewed. A test strategy is developed for every release.	Post release reviews are held to learn lessons and drive continual improvement. Analysis of release performance is incorporated into process and service improvement initiatives. Releases are planned and managed using a repeatable and successful approach.

It is recommended that the service provider performs a readiness check after the end of phase three to make sure that conformity to all requirements specified in ISO/IEC 20000-1:2011 can be demonstrated.

8 Post-implementation

8.1 Control of the SMS and improving service

Once the SMS has been implemented, the service provider should ensure that the SMS and the services can remain aligned with evolving business objectives and service requirements.

The service provider should appoint a group of interested parties to ensure the management of the SMS and commitment to continual improvement of the SMS and services. This group should include the senior responsible owner, process owners and service owners.

In addition, the change management process should be applied to the assessment of any risks associated with proposed changes and how they can impact the SMS, the services or the service provider organization.

8.2 Plan-Do-Check-Act

The continual improvement of both processes and services, by the application of the PDCA methodology as described in ISO/IEC 20000-1, is one of the most essential aspects of the SMS. The PDCA methodology supports the service provider to ensure that the requirements specified in ISO/IEC 20000-1 continue to be fulfilled.

In order to ensure that the SMS and the services continue to meet the needs of the business and customers, the following activities should be performed on an ongoing basis:

a) monitoring of service and process performance;

b) internal audit, management reviews and external audit (where required or appropriate);

c) prioritized improvement of the services and processes.

8.3 Interfaces to projects for new and changed services

New and changed services should be delivered using a design, transition, delivery and improvement cycle.

The service provider should seek information about changes to the customers' business objectives or other changes which can affect the services. It is also important for the business and the customer to inform the service provider about these changes, as early as possible. The business relationship management (BRM) process should facilitate the communication between the service provider and customers regarding such changes.

Annex A
(informative)

Project initiation and business case development

Table A.1 lists main activities of the project initiation and business case development. This should be considered in the context of the service provider's business needs and business model.

Table A.1 — Basis for three phases

Project initiation activities	Management Responsible
a) Understanding of: 1) principles, objectives and requirements of ISO/IEC 20000-1; 2) scope of an SMS to fulfil ISO/IEC 20000-1 requirements, including all relevant suppliers; 3) applicability of ISO/IEC 20000-1 to the service provider's circumstances.	Top management
b) Business case for gap analysis developed, including costs of gap analysis.	Project management
c) Business case and funding for gap analysis approved.	Top management
d) Gap analysis of current state against the requirements specified in ISO/IEC 20000-1 performed: 1) status of the current SMS (if present); 2) existing documents and records; 3) results of service reviews, internal audits or other conformity review; 4) workload characteristics; 5) actual service levels; 6) recent or current service improvement plans; 7) numbers, skills and competences of available staff; 8) major changes that can clash with the implementation of SMS; 9) other priorities that can take precedence over the implementation; 10) relevant statutory and regulatory requirements and contractual obligations; 11) experience of other service providers in similar circumstances; 12) service and process performance metrics.	Project management
e) Implementation business case based on the gap analysis and projected cost-benefits: 1) objectives for implementing SMS; 2) recommendations on formal independent conformity review; 3) proposed scope of the SMS; 4) predicted service levels (or changes to service levels); 5) predicted changes to workloads; 6) cost savings as overall costs and unit costs; 7) other direct or indirect benefits; 8) estimated implementation project resources, including the project team; 9) interested parties affected by or involved in the implementation; 10) risk assessments and risk management recommendations; 11) proposed terms of reference, project sponsorship and project governance.	Project management

Table A.1 *(continued)*

Project initiation activities	Management Responsible
f) Implementation business case approved, including costs and benefits from each phase: 1) top manager and other interested parties confirmed as project sponsors; 2) project governance agreed; 3) project team leader agreed; 4) project team structure and resourcing agreed.	Top management
g) Implementation project planned in detail, including for each phase: 1) timescales and phasing; 2) managers' commitment towards changes required to implement ISO/IEC 20000-1; 3) assessment of the organizational culture and ability to adapt; 4) numbers, skills and competences of the available implementation project team; 5) financial constraints on funding for the implementation project; 6) accommodation, facilities and other tools available for the implementation project; 7) service owner(s) and process owners identified; 8) scope of the intended project.	Project management
h) Implementation project plan agreed ensuring the availability of resources.	Top management

Annex B
(informative)

Three phases of the implementation project

While Table B.1 below lists the activities to be undertaken within each phase as well as the role responsible for performing them, it is important to emphasize a few points related to Phase 1. Phase 1, described in this Annex, starts when the following is in place:

a) there is management commitment for the implementation of an SMS based on the requirements specified in ISO/IEC 20000-1;

b) plans have been developed for the implementation project, based on the gap analysis;

c) necessary funds and other resources have been made available;

d) a group has been established for management of the implementation project, e.g. a steering committee, that also gives direction and support to the project team.

Each phase ends with a review of the project milestones, similar to the gap analysis done during the development of the business case. The results of the analysis are used to adjust the planning and activities of the next phase.

In the table below, each activity within a phase is identified, as are the team, group or function responsible for ensuring that each activity is completed. Some activities are repeated in several phases, as the components of the SMS are implemented and improved. All references are to ISO/IEC 20000-1:2011 clauses.

This table is a template and should be referred along with Table 2 for the detailed description.

Table B.1 — Activities in three phases

Activity	Phase			Responsibility
	1	2	3	
4 SMS general requirements				
4.1 Management responsibility				
4.1.1 Management commitment	•	•	•	Top management
4.1.2 Service management policy	•	•	•	
4.1.3 Authority, responsibility and communication	•	•	•	
4.1.4 Management representative	•	•	•	
4.2 Governance of processes operated by 3rd parties	•	•	•	Top management Project team
4.3 Documentation management				
4.3.1 Establish and maintain documents	•	•	•	Project team Documentation team
4.3.2 Control of documents	•	•	•	
4.3.3 Control of records	•	•	•	
4.4 Resource management				
4.4.1 Provision of resources	•	•	•	Top management

Table B.1 *(continued)*

Activity	Phase			Responsibility
	1	2	3	
4.4.2 Human resources	•	•	•	Project team Human resource team
4.5 Establish and improve the SMS				
4.5.1 Define scope	•			Project team
4.5.2 Plan the SMS (Plan)	•	•		Project team
4.5.3 Implement and operate the SMS (Do)	•	•	•	Top management Project team Service owners Process owners
4.5.4 Monitor and review the SMS (Check)				
4.5.4.1 General	•	•	•	Project team Service improvement manager Service owners Process owners Audit team
4.5.4.2 Internal audit		•	•	Audit team
4.5.4.3 Management review		•	•	Top management
4.5.5 Maintain and improve the SMS (Act)				
4.5.5.1 General	•	•	•	Project team Service improvement manager Audit team Process owners Service owners
4.5.5.2 Management of improvements		•	•	Top management Project team Service improvement manager Service owners Process owners
5 Design and transition of new or changed services				

Table B.1 *(continued)*

Activity	Phase			Responsibility
	1	2	3	
5.1 General		•	•	New or changed service project team Change management team Configuration management team Release management team Process owner
5.2 Plan new or changed services		•	•	New or changed service project team
5.3 Design and development of new or changed services			•	New or changed service project team Change management team Configuration management team Release management team
5.4 Transition of new or changed services		•	•	New or changed service project team Change management team Configuration management team Release management team
6 Service delivery processes				
6.1 Service level management	•	•	•	Project team Service level management team Change management team Service owners Process owners
6.2 Service reporting	•	•	•	Project team Service reporting management team
6.3 Service continuity and availability management				

Table B.1 *(continued)*

Activity	Phase			Responsibility
	1	2	3	
6.3.1 Service continuity and availability requirements		•	•	Service continuity management team Availability management team
6.3.2 Service continuity and availability plans		•	•	Service continuity management team Availability management team
6.3.3 Service continuity and availability monitoring and testing	•	•	•	Project team Service continuity management team Availability management team
6.4 Budgeting and accounting for services	•	•	•	Project team Financial management team Process owners
6.5 Capacity management		•	•	Project team Capacity management Change management team Process owners
6.6 Information security management				
6.6.1 Information security policy	•	•	•	Top management Information security management team Project team Process owner
6.6.2 Information security controls		•	•	Information security management team Project team Audit team Process owner
6.6.3 Information security changes and incidents	•	•	•	Project team Change management Information security management team Incident management Process owners
7 Relationship processes				

Table B.1 *(continued)*

Activity	Phase			Responsibility
	1	2	3	
7.1 Business relationship management	•	•	•	Project team Business relationship management team Service level management team Change management team Process owners
7.2 Supplier management	•	•	•	Project team Supplier management team Service level management team Change management team Process owners
8 Resolution processes				
8.1 Incident and service request management	•	•	•	Incident management team Major incident management team Service request management team Process owners
8.2 Problem management		•	•	Problem management team Change management team Process owners
9 Control processes				
9.1 Configuration management	•	•	•	Configuration management team Process owners

Table B.1 *(continued)*

Activity	Phase			Responsibility
	1	2	3	
9.2 Change management	•	•	•	Configuration management team Change management team Release management team Process owners
9.3 Release and deployment management		•	•	Release management team Configuration management team Change management team Process owners

Annex C
(informative)

Developing policies

C.1 General principles

The service provider planning to implement an SMS based on the requirements specified in ISO/IEC 20000-1:2011 should be aware that setting policies is fundamental to the success of the implementation as well as the management and the improvement of the SMS.

Per the requirements specified in ISO/IEC 20000-1:2011, the service management policy should clarify top management direction. This policy should then be aligned with process specific policies.

A process policy should provide direction for all service management process participants and be linked to and supported by other integrated process policies. Processes should also be linked to and supported by procedures. If this relationship between policy, process and procedure is maintained, the process outcomes can be supported by what is done on a day to day basis.

A single policy can have several dependent processes and a single process can have multiple procedures, potentially covering different usages of the same process across the organization. Policies, processes and procedures should form a logical set. Any components missing from a policy, process or procedure should be identified and an action plan for providing the missing components approved and implemented. During a conformity assessment, the assessor should expect to see a coherent and logical set of policies, processes and procedures that are linked to the service provider's objectives.

Policies should be developed to meet the service provider's specific circumstances. Policies should be developed or revised as a result of the gap analysis and after each phase of the implementation, as the service provider fulfils more of the requirements specified in ISO/IEC 20000-1.

Policies should be reviewed and, if necessary, revised after each of the following:

a) each internal audit or management review;

b) major changes, e.g. to the services, processes or technology used to deliver the services, or the service provider's organizational structure.

Any change to a policy can initiate a change to a process or procedure impacted by the revised policy. Similarly, if there is a request to change either a process or procedure the decision should take into account whether or not this can impact adherence to the policy.

A policy developed by one organization can work very well for that organization's circumstances but be completely inappropriate for another. To adopt another organization's policies can direct the focus of the implementation incorrectly and lead to a failed implementation. Adopting another organization's policies also could mean the service provider's management and project team have not given enough consideration to what is required for their circumstances, perhaps because they have not been properly understood.

Example policies are provided below to illustrate the differences that can be required across different organizations.

C.2 Phase 3 service management policy

This sample policy illustrates what a service provider can achieve by Phase 3, when the implementation of the SMS is complete. It can be developed during Phase 1 to set direction for the remaining phases. Example policy statements can include the following.

a) The SMS is managed and improved in alignment with the requirements specified in ISO/IEC 20000-1:2011.

b) The interfaces between service management processes are clearly defined, documented and monitored for effectiveness and efficiency.

c) Measurements are defined and used to measure the effectiveness and efficiency of all SMS components, including processes and services.

d) Annual benchmarking against other leading companies within the same industry sector is performed based on agreed measurements.

e) Adherence to service management policies and processes is measured to assess the effectiveness of existing suppliers, or to assess the suitability of potential suppliers.

f) Roles and responsibilities for all service management processes are defined in a consistent and complete manner.

g) Documented roles and responsibilities are used as the basis for training and management of staff competences.

h) Changes to processes or procedures are controlled by the change management process.

i) New staff, or those changing roles, are trained to an agreed level of competence in the processes and procedures they perform or are accountable for.

j) The service management processes, policies and plans are regularly reviewed and enhanced to incorporate innovations and improvements.

k) The service requirements should be agreed to ensure that service management activities are focused on the fulfilment of those requirements.

l) We are committed to continually improve the effectiveness of the SMS and services in alignment with evolving business objectives and customer requirements.

C.3 Phase 1 incident management policy

This sample policy on the incident management process illustrates what a service provider can achieve in Phase 1, with many of the activities implemented that are required to fulfil incident management process requirements specified in ISO/IEC 20000-1. In Phase 1 many of the other components of the SMS can still be at an early stage of implementation or not present. Once other components of the SMS have been implemented, the incident management policy can be updated to reflect the control of interfaces with those components, for example policies and processes.

Example policy statements for the incident management process can include the following.

a) The incident management process owner is accountable for the incident management process.

b) All incidents are allocated a priority and classified by type.

c) To ensure timely resolution of incidents, process participants should have access to relevant information. This should include available databases of known errors developed by the incident and service request management process.

d) All information defined as required for an incident record is kept up to date.

e) Incidents can only be put into suspended status with the formal agreement of the interested parties.

f) The analyst should check and correct the classification of incidents before closure and is responsible for closing of all incident records, after agreement by the customer affected that the incident has been resolved satisfactorily.

g) Procedures for handling major incidents are agreed with appointed representatives of the customer, the process owner and the service owner.

h) The incident process owner should ensure that all relevant (or designated) stakeholders are notified about and kept appraised of major incidents.

i) Service reports are produced and used to track the efficiency and effectiveness of the incident and service request management process. They are also used to identify and recommend improvements.

j) If Incident resolution includes changes to any component of the service, those changes are controlled by the change management process.

Annex D
(informative)

Documentation management

D.1 General principles

Although an effective SMS is the result of what people actually do, often on a day to day basis, supporting documentation is important as it provides the continuity of understanding and a basis for training, review and continual improvement.

ISO/IEC 20000-1:2011 includes requirements that documentation be appropriate and available so that staff can perform their roles. The documents do not need to be long or complex for this purpose. The service provider should aim to produce documents that are concise, easy to use and understand.

Documentation can also provide some of the evidence for an assessment. Documentation management should be understood and included early in the planning for implementation of the SMS.

D.2 Assessment of documentation

The service provider should include existing documents and documentation management procedures in the gap analysis performed as part of the development of the business case for the SMS.

Common deficiencies that should be checked during the document assessment can include:

a) not all policies, processes, procedures and plans required by ISO/IEC 20000-1:2011 are documented;

b) out of date or obsolete documentation in the same location as current versions;

c) documents include the names of individuals instead of roles or job titles;

d) inclusion of irrelevant details in the body of a document, such as the historic reasons a new process or procedure was documented;

e) inadequate version control (which risks the wrong version being used in error);

f) no record of why a document was changed in the document history or who approved the change;

h) documents that are excessively detailed and time consuming to read or difficult to understand;

i) a wide variety of formats, structure and media;

j) missing documents such as plans, objectives, policies, processes, procedures, SLAs and service records;

k) unnecessary variations on processes and procedures;

l) policies, processes and procedures that are not connected as a logical hierarchy;

m) policies, processes and procedures that overlap or duplicate each other, or leave important components of the SMS undocumented;

n) missing or incomplete records;

o) a current document or record that has no relationship to what activities are actually being performed.

D.3 General SMS documentation guidelines

A number of general considerations can be taken into account with respect to documentation within the scope of the SMS:

a) a secure document store can be made available at the beginning of the implementation project and managed as a valuable resource;

b) the secure document store can be physical, virtual or online. It can be a single secure document store or several, linked and managed as a valuable resource for the SMS;

c) service providers should give thought to the benefits of using electronic documents, document repositories, collaboration spaces, intranet and the possibility of creating links between documents or records using hyperlinks;

d) a service provider can find it highly beneficial to manage documentation by defining documents as CIs and controlling changes to them through the change management process;

e) the structure of the secure document store can group related documents into a logical set, e.g. an electronic folder;

f) the structure of the secure document store and the structure of documents can support easy referencing;

g) documents should be based on templates, with a similar structure and format where possible, to facilitate consistency and to simplify searching the different parts of each document;

h) statutory and regulatory requirements and contractual obligations should be taken into account, e.g. the period of time a document or record should be retained;

i) policies, processes and procedures should be agreed for:

   1) the structure and media of the documents;

   2) naming of documents;

   3) version control;

   4) controls and rights on amending or browse only;

   5) the control of distributing documents;

j) policies, processes and procedures should support the control of documents throughout their lifecycle, including:

   1) creation;

   2) review;

   3) approval;

   4) maintenance;

   5) disposal;

   6) change;

k) Each stage of the document lifecycle should have a clear set of:

   1) roles;

   2) responsibilities;

   3) accountabilities.

D.4 Documentation planning

In planning the implementation of an SMS, service providers should ensure that there is an appropriate balance between the time allocated to producing documents and the time allocated to changing the way staff and managers perform the activities.

The following should be considered:

a) out of date or obsolete documentation should be archived, or, where there is no need for documentation to be retained, it should be disposed of;

b) ensuring consistency of process activities is easier if there are templates, standard styles and example documents;

c) a record has value if it represents what has been achieved without significant errors and is in a style and format that is easy to understand;

d) the service provider can find that documents are varied in their format, style or level of detail, so policies, processes and procedures should not be combined in a single document;

e) procedures previously produced as the result of localized or obsolete process initiatives can have little relationship to the current process or policy. Procedures should be reviewed and if necessary replaced or amended as part of the logical set of policy, process and procedure;

f) the history of why a process or procedure was documented or amended should be summarized in a short history sheet, preferably at the front or back of the document;

g) the names of individuals should be replaced by the role or job title for all documents, except for individuals involved in migrating the document through its lifecycle, e.g. the author or manager accountable for approving the document for release or disposal;

h) the service provider should ensure that access and retrieval of documents and records is possible during conformity assessments and throughout the lifetime of the SMS.

Annex E
(informative)

Templates

E.1 General principles

This annex contains several templates that can be amended to support the implementation of an SMS based on the requirements specified in ISO/IEC 20000-1.

E.2 List of templates

Please note that the list only shows some examples of templates that needs to be developed

Serial Number	Templates
E.3	ISO/IEC 20000-1 implementation project plan
E.4	Service management plan
E.5	Policy template
E.6	Procedure template
E.7	Change management policy template
E.8	Service improvement plan template
E.9	Key performance indicator reporting template
E.10	Individual customer satisfaction template

E.3 ISO/IEC 20000-1 implementation project plan template

1 Introduction

< Mention the objective of the SMS implementation plan and intended audience. >

2 Plan

< Establish the objectives and processes necessary to deliver results in accordance with customer requirements and the organization's policies. Planning elements may include the following. >

2.1 Vision and mission of the SMS implementation project;

2.2 Organizational impact and risk analysis;

2.3 Core team composition;

2.4 Training plan – core team, practitioners, management;

2.5 Communication plan – internal and external stakeholders;

2.6 Governance framework;

2.7 Baseline assessment on process and performance.

3 Do

< Implement the processes. The key activities here are: >

3.1 Design of the SMS;

3.2 Standard policies, procedures, guidelines and templates;

3.3 Standard measurement framework;

3.4 Implementation of the processes across all functions and projects in scope for the certification exercise;

3.5 Management of changes to ways of working and behavioural aspects through appropriate trainings and communication;

3.6 Assess and deploy a set of service management tools to support the SMS and services.

4 Check

< Monitor and measure processes and services against policies' objectives and requirements and report the results. Key activities here include: >

4.1 Periodic status reporting;

4.2 Project plan reviews by key stakeholders;

4.3 Audit and compliance framework.

5 Act

< Take actions on the deviations and variances and continually improve process performance. >

6 Acronyms

< List all the acronyms and their description used in the plan. >

7 SMS design

< Embed the SMS design. >

8 Key roles and responsibilities

< Describe the roles and responsibilities. >

9 Measurements

< List the measurements and metrics planned to be collected for this project plan. >

10 Verification

< List the reviews, audits and verifications required for this plan. >

11 Tailoring

< Any tailoring(s) required based on specific customer requirements may be detailed. >

12 Templates

< List all the templates that should be provided with this plan. >

E.4 Service management plan template

1 Introduction

< Mention the objective of the service management plan and intended audience. >

2 Overview

< Establish the scope and processes necessary in accordance with customer requirements. >

2.1 Overview and scope of the customer engagement;

2.2 Establish critical success factors of the customer engagement;

2.3 Enlist the service level agreement (SLA) requirements.

3 Engagement execution plan

< Establish the engagement execution plan across people, process and technology requirements necessary in accordance with customer needs. >

3.1 Establish assumptions, dependencies and constraints in the engagement;

3.2 Engagement organization structure;

3.3 Establish roles and responsibilities;

3.4 Set-up training requirements;

3.5 Establish governance framework – internal and external interested parties;

3.6 Establish communication plan – internal and external interested parties;

3.7 Establish escalation plan – internal and external interested parties;

3.8 Create resource management plan;

3.9 Establish infrastructure management plan – hardware, software, tools, network etc;

3.10 Create risk management plan;

3.11 Create performance management plan;

3.12 Establish tracking, reviewing and reporting mechanisms of success factors, performance indicators and service level targets and measurements;

3.13 Establish tracking, reviewing and reporting mechanism for service targets.

4 Service improvement plan

< Establish the service improvement framework for the customer engagement. >

5 Business continuity plan

< Establish the service continuity requirements for the customer engagement with frequency of execution. >

6 Document management plan

< Establish the document management framework necessary in accordance with service requirements key roles and responsibilities. >

7 References

< Enlist necessary references to templates, checklists which indicate performance measures and SLA's. >

8 Annexure

< Enlist necessary annexes to the service management plan document like details of, service improvement plan, service continuity plan etc . >

9 Change history

< Track the changes made to the service management plan document with reference to date, section changed, change owner details. >

E.5 Policy template

1 Document overview

2 Purpose

< Define the purpose and objectives of this policy document. >

3 Scope

< Indicate the scope and applicability of the various policies mentioned in Section 2 (of this template), below. >

4 Policy statements

< Process name > management compliance policy

< Define the policy for the adherence to the agreed < process name > process and procedures. Refer to relevant documents. >

< Process name > management compliance policy statement

< Detail the requirement for adhering to the < process name > policy. Request for deviation in case the process cannot be adhered to. >

< Policy name > policy

< This policy > < provide a brief statement of the reason for the policy. >

< Policy name > policy statement

< Insert the policy statement >

< Insert any bullet points or delete. >

5 References

< Refer the process and procedure documents related to this policy. >

6 Nonconformity

< Detail the actions that should be taken in case of nonconformity to the policies. >

E.6 Procedure template

1 Objective

< Mention the objective of the document as well as the process. >

2 Scope

< Detail the scope of the process. >

3 Acronyms

< List all the acronyms and defined terms and their definition as used in the process. >

4 Key terms and definitions

< Detail all key concepts of the process. >

5 Process workflow

< Embed the process flow. >

6 Procedure

< Detail the procedure for the process inputs, tasks, responsible, and outputs. >

Activity 1: <Name>			
Input	**Tasks**	**Responsible**	**Output**
	1.1 Task name Description Step1: o sub step o sub step Step 2 o sub step o sub step		

7 Process roles and responsibilities

< Describe all the roles and responsibilities of this process. >

8 Measurements

< List the measurements planned to be collected for this process. >

9 Verification

< List the reviews, audits and verifications required for this process. >

10 Tailoring

< Any variation to existing services or processes required to fulfil specific service requirements may be detailed. >

11 Templates

< List all the templates that should be provided with this process. >

12 Tools Status

< Describe the tool statues if applicable for this process. >

13 Interfaces/references to other processes

< Describe the interfaces with other processes. >

E.7 Change management policy template

1 Document overview

1.1 Purpose

< The purpose of this document is to detail the policies applicable while implementing or adhering to the change management process established by the service provider. This document also details the actions