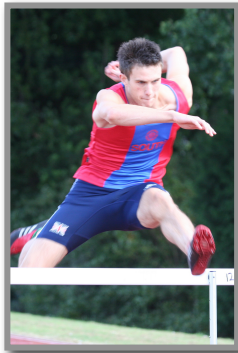


Introduction to ISO 20000 for SMEs



Conquering the hurdles of
Managing IT Production

Metrics
Operational Tools
Processes & Procedures
Standards

Dennis Adams
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(Revised Dec 2011)

Background Questions

I've heard of ITIL, but what's this ISO 20000 thing?

Aren't all process systems the same?

As a Small/Medium business, is it really cost-effective for me to invest in these Quality Management Systems?

What happened to BS 15000?

Objectives of this Presentation

- Understand what ISO/IEC 20000 is
- Explain how it fits into the myriad of other quoted standards such as BS 15,000, ITIL etc.
- Identify what may be required in order to gain ISO 20,000 accreditation.
- What has to be achieved / demonstrated in order to get ISO 20,000 standard?
- How can accreditation be delivered? By whom?
- How long would an accreditation process take, and how much might it cost?
- For SMEs, how relevant / practical is it to proceed with ISO 20000 certification?

How can this deliver real benefits to the client?

AGENDA

- ISO/IEC 20000 fundamentals
- Processes within ISO 20000
- Accreditation and Certification
- Conclusions

What is ISO/IEC 20000?

- International Standard for IT Service Management.
- Published in December 2005 by the International Standards Organisation.
- Replaces the former BSI Standard BS 15,000
- Reflects best practice based on ITIL and other Service Management Frameworks.

- ISO 20000-part 1:2005
 - Specification
 - Describes the “integrated processes” to be deployed.
- ISO 20000-part 2:2005
 - Code of practice.
 - Useful preparation for being audited.

Online Resources for ISO 20 000

- ISO: <http://www.iso.org/>
 - Cost: 84 Swiss Francs for each part
- BSI Standards Direct:
 - <http://20000.standardsdirect.org/>
 - Also sells the ISO 20,000 toolkit which comprises both standards parts and guides, presentations, templates etc. (£495)
 - <http://www.20000-toolkit.com/> (\$795).
- Other Links:
 - ISO 20,000 User Group: <http://www.15000.net/>
 - The ISO 20,000 Directory: <http://www.bs15000.org.uk/>
 - ISO 20000 Central (News) : <http://20000.fwtk.org/>

Governance of ISO/IEC 20000

- The overall ISO/IEC 20000 IT Service Management Certification Scheme was created and managed by the itSMF.
- Training Material has to be accredited.
- Accredited Course Providers can run courses.
- Individuals can be Qualified in ISO/IEC 20000
 - Similar to the ITIL Qualification.
- Organisations can be Certified as ISO/IEC 20000 compliant.
 - ISO/IEC 20000 logo on company literature
 - (ITIL does not have a concept of Organisational compliance)

Comparison ISO/IEC 20000 with ITIL

- ISO/IEC 20000 has a compliance Certification.
- ITIL is non-prescriptive:
 - “The best-practice guidelines in this and other volumes [of ITIL] are not intended to be prescriptive”
 - (source: ITIL Version 3 Service Operation, Section 1.4)
- ISO 20000 is a set of mandatory requirements, whereas ITIL is a set of guidelines.
- ISO/IEC 20000 applies to Organisations, as well as individuals.

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Structure of ISO 20,000 Part - 1

- Scope
- Terms & Definitions
- Planning and Implementing Service Management
- Requirements for a Management System
- Planning & Implementing New or Changed Services

- Service Delivery Process
- Relationship Processes
- Control Processes
- Resolution Processes
- Release Process.

Key Process Groups in ISO 20000 Part-1

- ISO 20000 Part-1 has five key process groups:
 - Service Delivery Processes
 - Relationship Processes
 - Resolution Processes
 - Release Process
 - Control Processes
- These groups map to the ITIL processes structure.

Service Delivery Processes and Components

- Availability Management (*)
- Service Continuity (*)
- Service Catalog
- Service Level Management, SLAs & OLAs (*)
- Financial Management, Budgeting & Chargeback (*)
- Capacity Management (*)
- Information Security

(*) Similar to ITIL V2 'Service Delivery'

The Relationship Processes

- Business Relationship
- Supplier Relationship
- Supplier Relationship Resource Usage / planning processes.
- Managing Roles and Responsibilities in respect of Business and Supplier relationships.

Resolution Processes

- Incident Management (*)
- Problem Management (*)
- [Service Desk Processes (*)]

(*) Similar to ITIL V2 'Service Support'

Release Process

- Release Management (*)
- Issues relating to Software Testing and Implementation. (*)

- Definitive Software Library (*)
- Definitive Hardware Store (*)

(*) Similar to ITIL V2 'Service Support'

Control Processes

- Change Management Process (*)
- Change Advisory Board (*)
- Forward Schedule of Change (*)

- Configuration Management (*)

(*) Similar to ITIL V2 'Service Support'

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Certification Scheme

- Organisations can be externally audited against the requirements of ISO/IEC 20000-1:2005
- They must be audited by a Certification Body that has, itself, been accredited for ISO 20000
- The ISO/IEC 20000 Certification and Qualification Schemes are owned and managed by the IT Service Management Forum (itSMF).
 - <http://www.isoiec20000certification.com>
- There is an accreditation scheme for
 - ISO 20000 training providers
 - Consultants
 - Auditors

Certification Bodies in the UK

- BSI Management Systems (United Kingdom)
- Bureau Veritas Certification Holding SAS (United Kingdom)
- Certification Europe Ltd
- DNV Certification Ltd (United Kingdom)
- Isoqar Ltd
- KPMG Audit Plc (United Kingdom)
- LRQA Ltd (United Kingdom)
- SGS United Kingdom Ltd
- TCIC Ltd

Source: <http://www.isoiec20000certification.com>

How to show that you conform to ISO 20000

- The standard defines the requirements for a provider to deliver to customers:
 - “managed services of an acceptable quality”
- Published Guidance on ISO 20000:
 - “in order for the Service Provider organisation to achieve certification under the ISO / IEC 20000 scheme it must be able to demonstrate that it has management control of all the processes defined within the ISO /IEC standard”.
 - So what is “Management Control”?

What is meant by “Management Control of processes”?

- Knowledge and control of inputs
- Knowledge, use and interpretation of outputs
- Definition and measurement of metrics
- Demonstration of objective evidence of accountability for process functionality in conformance to the ISO/IEC 20000 standard
- Definition, measurement and review of process improvements.

Scoping guidelines give worked examples

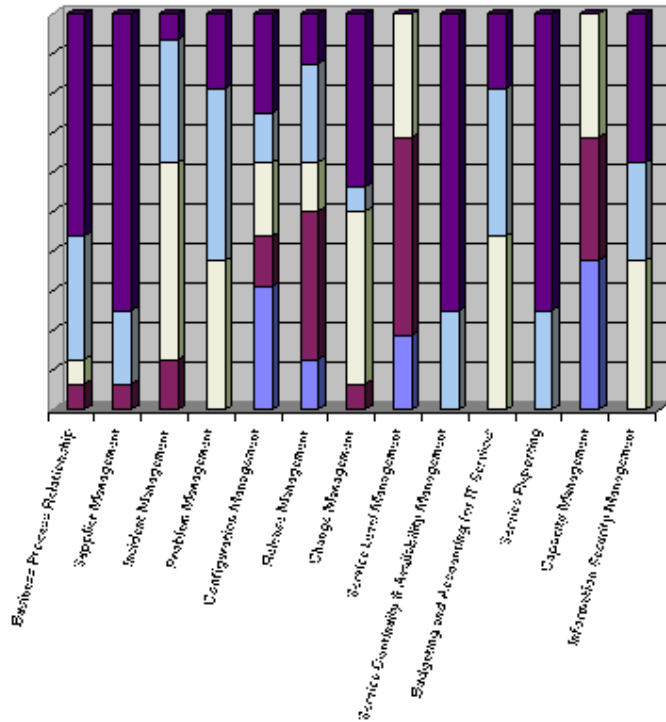
Assessing Compliance

- Has to be done by an accredited auditing company
- Requires positive scores to a range of questions, in order to demonstrate Management Control covering the five fundamental process areas:
 - Service Delivery Processes
 - Relationship Processes
 - Resolution Processes
 - Release Process
 - Control Processes
- Organisations are periodically re-audited.

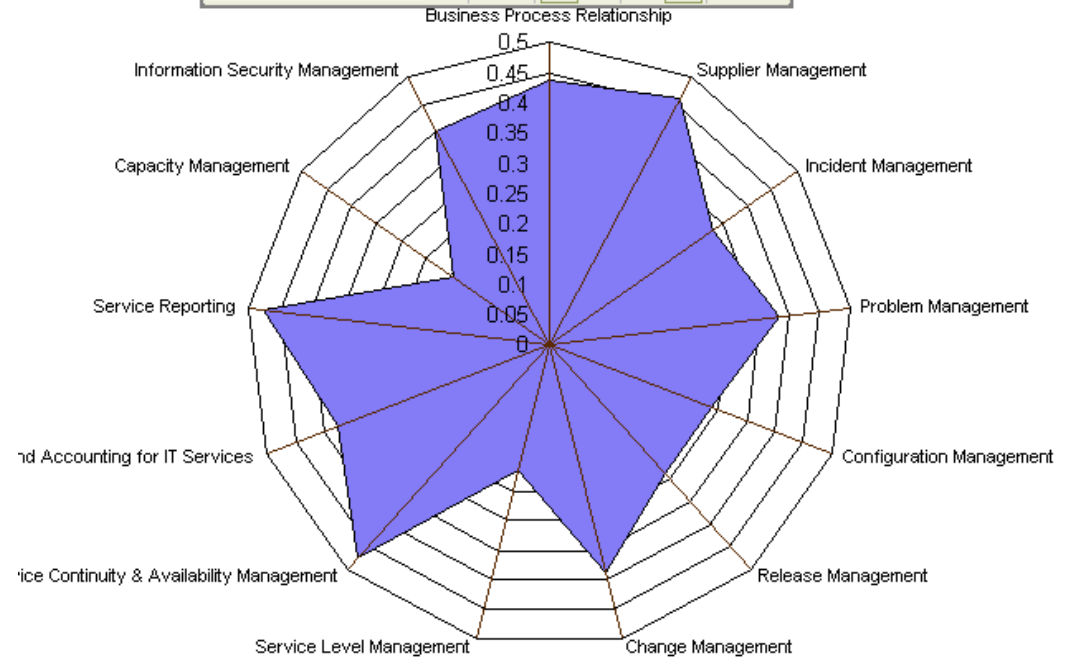
Extract from the Compliance Assessment Toolkit

46	4	Are there agreed upon guidelines for managing disputes between Service Provider and suppliers?
47	5	Do dispute resolution guidelines have the interests of both parties in mind?
48	6	Is there an agreed upon set of factors that can result in a contract end situation?
49	7	Are there clearly defined roles and responsibilities that will ensure a minimal level of duplicated effort?
50	8	Is the scope of service provided by an external supplier clearly defined (including support, performance and financial aspects)?
51	9	Are complements captured and passed on to the relevant individual or group responsible?
52	10	Is there a strong connection between Supplier Management and Service Level Management process?
53	11	Is the selection of personnel working in this area treated with the importance it deserves?
54	12	Is there external or internal independent reviews of the process itself on a regular basis?
55	13	Are there regular reviews with suppliers to ensure that their security measures are adequate?
56	14	Are there regular reviews with clients/customers to ensure that your security measures do not hamper the smooth operation of the business?
57	15	Is there clear guidelines for Lead Suppliers that are managing sub-suppliers (performance and reporting)?
58	16	Are contracts/agreements with external security providers reviewed on a regular basis for completeness, reporting and relevance?
59		SCORE
		Incident Management
60		
61	1	Is there a clear understanding by the IT Staff in the organization of this process?
62	2	Is there enough information captured about incidents when they are registered?
63	3	Are incidents assigned a classification code that may point to the likely cause of the incident?
64	4	Is there a feeling within the business users that reducing the number of incidents will increase overall productivity?
65	5	Is there a budget for the provision of incident management tracking tools and the overall incident reduction?
66	6	When closed are incidents assigned a code that points to the actual cause of the incident?
67	7	Before effort is put into solving a new incident are there checks to see if the same incident was dealt with in the past?
68	8	Is there sufficient time and budget allowed for training staff in this process area?
69	9	Are the procedures in place to assess the user satisfaction levels of incident resolution?
70	10	Are there suitable reports provided to Management that indicate incidents solved at the Service Desk, first level support, etc.?
71	11	Are there regular reviews on performance of this process area against documented Key Performance Indicators (KPI's)?
72	12	Are all incidents recorded or is there some informal ways users can bypass the process?
73	13	Is there a good flow of information from Incident Management into the Problem Management process?
74	14	Is there a list of high priority users that receive preferential treatment when registering incidents?
75	15	Is there a procedure in place for dealing with high impact incidents?
76	16	Is each incident given it's own unique identifying number?
77		SCORE
		Problem Management
78		
79	1	Is there a clear understanding by the IT Staff in the organization of this process?
80	2	Is it clear who in the organization should be assigned problems to be dealt with?
81	3	Is there a list of workarounds maintained and used while more detailed analysis is done?
82	4	Does the process owner undertake proactive problem management (looking for potential areas of failure, before they occur)?
83	5	Is there sufficient time and budget allowed for training staff in this process area?
84	6	Does the Process owner analyze incident information to look for incident trends?
85	7	Is there management commitment to support staff allocating sufficient time for structural problem solving activities?
86	8	Is the organization committed to reducing the total number of problems and the number of incidents that interrupt the conduct of business?
87	9	Are there suitable reports provided to Management that indicate numbers of problems outstanding & resolved, etc.?
88	10	Have the responsibilities for problem management been assigned?
89	11	Are electronic tools used in this process area well utilized?
90	12	Is there a procedure by which potential problems are classified, in terms of category, urgency, priority and impact and assigned for investigation?
91	13	Does the Problem Management process have a good line of communication with the Change Management process area?
92	14	Is infrastructure monitored after problem resolution?
93	15	Are there regular reviews on performance of this process area against documented Key Performance Indicators (KPI's)?
94	16	Are there regular reviews on performance of this process area against documented Key Performance Indicators (KPI's)?

Compliance Assessment



Average Process Score - all participants, all questions



What sort of organisation are certified?



- According to the itsmf web site, only 36 UK organisations have been certified to ISO/IEC 20000.

- IBM UK Ltd (MOD LITS Service Delivery)
- G4S Justice Services, Electronic Monitoring
- Exel plc
- SAIC Ltd
- Northrop Grumman Information Technology Ltd
- ~~Yell Limited~~
- Softlab Ltd
- Specialist Computer Centres Ltd
- Phoenix IT Group Ltd
- Marval Software Limited Service Delivery Team
- Biwater Treatment Ltd
- Score Group Plc
- Accenture – NHS Services
- Atos Origin
- Anix Group
- English Heritage
- Lloyds TSB Group Group IT Service Delivery
- Competition Commission IT Dept

- CEVA Logistics Limited - UK IT Services
- HBOS Card Services
- Fujitsu Services
- TCM Solutions
- Northgate Managed Solutions
- Panacea Services
- BSS
- Smart 421 Ltd
- CSC Computer Sciences Ltd
- BT DWP
- Allied Bakeries
- BT DFTS
- British Sugar
- St. Helens Council
- SunGard Vivista Ltd
- LogicaCMG UK Limited
- LogicaCMG UK Limited
- Electronic Data Systems Limited - ATLAS Service Management

How long will it take, and how much will it cost?

- The amount of time and cost depends upon a variety of factors, including:
 - the existing compliance level of IT Service Management in the business
 - the level and quality of appropriate documentation
 - the size, complexity and distribution of the business or division to be audited
- The reality is that a formal audit is usually a very small proportion of the total cost that an organisation will incur in implementing a service improvement programme.
- (source: <http://www.isoiec2000certification.com/>)

Can an organisation become part-certified?

- (e.g. If they do not have all the processes in place)
- The simple answer is NO.
- All of the ISO/IEC 20000 requirements have to be in place at an appropriate level.
 - It is not permitted to exclude parts of the standard by, for example, declining to carry out one or more of the processes.
- Some processes may be outsourced
 - but they must still be performed
 - and the organisation being audited must demonstrate effective management control of those processes,
 - including the interfaces with other, internal service management processes.
- (source: <http://www.isoiec20000certification.com/>)

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ISO 20000 Compliance

- This is clearly a non-trivial task.
- Has to be done by an accredited auditing company
- Requires positive scores to a range of questions covering the five fundamental process areas:
 - Service Delivery Processes
 - Relationship Processes
 - Resolution Processes
 - Release Process
 - Control Processes

To Demonstrate Compliance, a company will have to...

- Have documentation in place for every Process
- Knowledge and Control of Input and Outputs for every Process
- Defined Metrics being gathered for every Process
- Demonstrate that Continuous Process Improvement is in place.

- Ensure that all process flows conform to the ISO/IEC 20000 standard.
- Produce Evidence to satisfy the Audit.

ISO/IEC 20000 Cost-Benefits

- Benefits of ISO 20000:
 - “Organisations which have a current Certificate of Compliance bearing the itSMF logo are also permitted to display the logo on their stationery, etc. subject to certain terms and conditions. In this way the organisation can demonstrate their compliance with the standard to a wide audience.”
 - (source: <http://www.isoiec20000certification.com/>)
- Cost expectancy:
 - Cost of ensuring fully documented and managed processes in all aspects of IT Service Management.
 - Ongoing costs of ensuring adherence, including training etc.
 - Ongoing costs of process improvement initiatives.

Potential ISO/IEC 20000 Benefits

- Creates competitive advantage via the promotion of consistent and cost-effective services.
- Provides a benchmark type comparison with best practices
- Enhanced reputation and perception
- Provides a strong framework for service improvement.
- Creation of a stable framework for both resource training and service management automation. By requiring ownership and responsibility at all levels, it creates a progressive ethos and culture.
- Reduction of risk and thus cost
- Through the creation of a standard consistent approach, aids major organizational changes.
- Improved relationship between different departments via better definition and more clarity in terms of responsibility and goals.

Issues for small/medium organisations

- Small/Medium Organisations may not have specialised resources in place for every aspect of ISO 20000.
- Consequently, these organisations may not be in a position to demonstrate the level of detailed compliance that may be required.
- SMEs often have (and need!) “light” processes which are at a lesser level of maturity than would be required for compliance.

ISO 20000 compliance may be impractical for SMEs

Provisional Recommendations

- Whilst ISO/IEC 20000 is a very valid aspiration for an SME, a number of factors mitigate against it:
 - The cost of certification.
 - The level of detail required, which may be incompatible with the desire to have “light” control processes.
 - The overhead of an ongoing commitment to process improvement which may be difficult to resource at certain times.

ISO 20000 compliance is a long term cultural change.

Potential ISO/IEC 20000 Compliance Roadmap

- Identify all the Processes in ISO/IEC 20000 and allocate clear responsibility for each.
 - Accountability for process functionality
 - Definition, measurement & review of process improvements.
- Document (flowchart) all existing processes in each area, to highlight
 - Knowledge and control of inputs
 - Knowledge, use and interpretation of outputs
 - Definition and measurement of metrics
- Where existing processes do not exist / are incomplete, sponsor a process creation / process improvement initiative.

Potential ISO/IEC 20000 Compliance Roadmap (2)

- Ensure that all stakeholders are trained on the processes as documented.
- Sponsor ISO/IEC 20000 training for key stakeholders.
- Obtain assistance from ISO 20000 auditors to provisionally audit for ISO 20000 compliance.
- Identify gaps and launch a programme of work to address them.
- Go for ISO/IEC 20000 Audit.

A complete roadmap may take 12 - 24 months

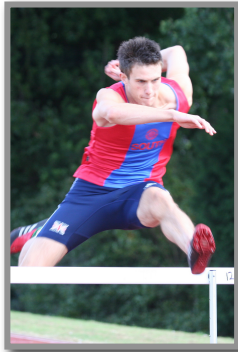
Dennis Adams Associates: Our experience

- Significant experience in designing, implementing and documenting ITIL-based processes.
- Six-Sigma experience in process improvement and documentation.
- Understand the practical challenges of IT Production Management
- Able to add pragmatic “value add” to ensure that the deployed processes work in practice.

Dennis Adams Associates: Value-Add

- Assist in creation of a more detailed road map for process improvement.
- Identify the “quick wins” that would benefit the business as a whole.
- Manage the “roadmap” of process improvement, and provide resources to implement different processes, according to client skill-sets.
- Introduce ISO/IEC 20000 qualified auditors to do a preliminary assessment.
- Assist in the management of the road to certification.

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