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Information Technology

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New Work Item Proposal

PROPOSAL FOR A NEW WORK ITEM

Date of presentation of proposal: 2008-07-16	Source: WG23
Secretariat: Standards Council of Canada (SCC)	ISO/IEC JTC 1 N 9181 ISO/IEC JTC 1/SC 7 N4095

A proposal for a new work item shall be submitted to the secretariat of the ISO/IEC joint technical committee concerned with a copy to the ISO Central Secretariat.

Presentation of the proposal

Title Information Technology – Guidelines for the application of ISO 9001:2000 to IT service management.

Scope: The scope of this work is to define the relationship between requirements defined in the published ISO 9001:2000 and the ISO/IEC 20000 standards and accompanying guides.

PURPOSE AND JUSTIFICATION:

The purpose of this work is to establish a common and worldwide interpretation of the commonalities and differences between the requirements of the abovementioned published standards, which will support enterprise adoption and audit of management systems developed following the requirements of one or both standards.

The IT Service Management industry in general, ISO 9001:2000 and ISO/IEC 20000-1:2005 auditing organizations, IT Service Management and Quality Management non-profit organizations, IT consulting companies, as well as IT educational bodies, have been developing since December 2005 documentation where the relationships between the specific requirements of the currently published ISO 9001:2000 and ISO/IEC 20000-1:2005 are described.

However done by practitioners without international guidelines, in doing so, these organizations have responded to clear Customer demand.

In addition, Section 0.4 of ISO 9001:2000 defines,

"This International Standard does not include requirements specific to other management systems, such as those particular to environmental management, occupational health and safety management, financial management or risk management. However, this International Standard enables an organization to align or integrate its own quality management system with related management system requirements. It is possible for an organization to adapt its existing management system(s) in order to establish a quality management system that complies with the requirements of this International Standard."

ISO/IEC 20000-1:2005 is a widely popular published Management System Standard that applies to IT Service Management environments. The work in this NWI Proposal will provide guidelines for the alignment and/or integration of management systems in enterprises where Services are being delivered to internal or external Customers, and will enable their effective and efficient implementation.

The publication will be a Technical Report Type 2.

JTC 1/SC7 WG23 has developed two other standards, number ISO/IEC 90003, and ISO/IEC 24783 (90005), which provide guidelines for the application of ISO/IEC 9001 to Software Engineering and Systems Engineering, respectively.

Continuing the development of the series to the application of ISO 9001:2000 in IT related areas, this proposal addresses its current application with the IT Service Management published standard ISO/IEC 20000-1:2005.

With the worldwide take up of ISO/IEC 20000-1:2005 by the IT Service Management industry, as well as the continuous development, maintenance and certification of Management Systems that use ISO 9001:2000 requirements as reference, it is necessary to provide clear guidelines about how the requirements of these two standards can be related and audited. Through this work, ISO will ensure that this is done with the involvement of Standards organizations across the globe, and using the vast knowledge accumulated by the IT industry in these areas.

This Technical Report will prove to be a fundamental aid tool to Quality Management and Auditing professionals engaged in certification to ISO 9001:2000 and ISO/IEC 20000-1:2005 programs.

Scope and Format guidelines

The format of the Technical Report will be the format used for the ISO 90003 Standard.

This is, each requirement in ISO 9001:2000 will be boxed, and the text immediately after will show a similar requirement in ISO/IEC 20000-1 when present, and will point to and explain how it applies to a typical IT Services organization.

If the requirement is not present in one of the Standards, it will be indicated in the document, however NO attempt will be made to advice changes to the Standards.

It is expected that the Study Group “on service and systems management and their integration into SC7” instructed at the Berlin Plenary with resolution number 1099, will be responsible for providing, in time, the recommendations to address their differences.

Furthermore, this Technical Report will be an input to the abovementioned SC7 Study Group.

PLEASE SEE SECTION “**Comments and recommendations of the JTC 1 or SC 7 Secretariat**” in **pages 5 and 6** of this document, for examples

Programme of work

If the proposed new work item is approved, which of the following document(s) is (are) expected to be developed?

- ☒ **X** a single International Standard (Technical Report Type 2)
- ☐ more than one International Standard (expected number:)
- ☐ a multi-part International Standard consisting of parts
- ☐ an amendment or amendments to the following International Standard(s)
- ☐ a technical report , type

And which standard development track is recommended for the approved new work item?

- ☒ **X** a. Default Timeframe
- ☐ b. Accelerated Timeframe
- ☐ c. Extended Timeframe

If the proposed new work item is approved, it shall be allocated to SC7/WG23.

Relevant documents to be considered

- ISO 9001:2000
- ISO/IEC 20000-1:2005
- ISO/IEC 20000-2:2005
- Any updates or additions to the ISO/IEC 20000 family of standards
- ISO 90003:2004
- ISO/IEC 19770-1:2006
- ISO/IEC 27001:2005

Co-operation and liaison:

- Internal SC7 liaison with WG25
- ISO/TC 176

Preparatory work offered with target date(s)

Once approved and before a first meeting the WG Convener will make a call to those operating in the field for relevant input as a basis for developing an initial working draft.

Some similar work has been already attempted with similar purpose by individual countries, like Spain, Italy and UK, which will be contributing their output.

Project editor Ms Hilda Rozenberg (UK), co-editors Mr Shigenobu Katoh (Japan), Luis Miguel Rosa Nieto (Spain).

Signature: , WG23 Convener

Will the service of a maintenance agency or registration authority be required..... No

- If yes, have you identified a potential candidate?

- If yes, indicate name

Are there any known requirements for coding? No

-If yes, please specify on a separate page

Does the proposed standard concern known patented items? . No

- If yes, please provide full information in an annex

Are there any known accessibility requirements and/or dependencies (see:

<http://www.jtc1access.org>)? No

-If yes, please specify on a separate page

Are there any known requirements for cultural and linguistic adaptability?. No

-If yes, please specify on a separate page

**Comments and recommendations of the JTC 1 or SC 7 Secretariat –
FORMAT Example**

ISO 9001:2000 Quality Management systems - Requirements

4.2.1 General

The quality management system documentation shall include

- a) documented statements of a quality policy and quality objectives,
- b) a quality manual,
- c) documented procedures required by this International Standard,
- d) documents needed by the organization to ensure the effective planning, operation and control of its processes, and
- e) records required by this International Standard (see 4.2.4).

NOTE 1 Where the term “documented procedure” appears within this International Standard, this means that the procedure is established, documented, implemented and maintained.

NOTE 2 The extent of the quality management system documentation can differ from one organization to another due to

- a) the size of organization and type of activities,
- b) the complexity of processes and their interactions, and
- c) the competence of personnel.

NOTE 3 The documentation can be in any form or type of medium.

4.2.3 Control of documents

Documents required by the quality management system shall be controlled. Records are a special type of document and shall be controlled according to the requirements given in 4.2.4.

A documented procedure shall be established to define the controls needed

- a) to approve documents for adequacy prior to issue,
 - b) to review and update as necessary and re-approve documents,
 - c) to ensure that changes and the current revision status of documents are identified,
 - d) to ensure that relevant versions of applicable documents are available at points of use,
 - e) to ensure that documents remain legible and readily identifiable,
 - f) to ensure that documents of external origin are identified and their distribution controlled, and
 - g) to prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose.
-

ISO/IEC 20000-1:2005 Requirements for a Management System

3.2 Documentation requirements

Service providers shall provide documents and records to ensure effective planning, operation and control of service management. This shall include:

- a) documented service management policies and plans;
- b) documented service level agreements;
- c) documented processes and procedures required by this standard; and
- d) records required by this standard.

Procedures and responsibilities shall be established for the creation, review, approval, maintenance, disposal and control of the various types of documents and records.

NOTE: The documentation can be in any form or type of medium.

- ISO 9001:2000 Documentation requirements apply to those documents within the Quality Management System, as defined in the Quality Manual and following the requirements of section 4.2.2 of the Standard.
- ISO/IEC 20000-1:2005 Documentation requirements apply to those documents within the IT Services organization, as defined in the IT Service Management System scope statement.
- ISO/IEC 20000-1:2005 does not include a section similar to ISO 9001:2000 4.2.3 "Control of documents", and specific requirements about how documents shall be controlled are not described. However, the description of how documents are controlled must be defined in the IT Service Management System, and evidence shown during conformity assessments.

Procedure documents

- Items c) in both Standards, establish the need for developing and maintaining "procedures required by this standard". In the case of ISO 9001:2000, mandatory procedures are only six (6), as follows,
 - Control of documents
 - Control of Records
 - Internal audit
 - Non-conforming product
 - Corrective action
 - Preventive action
- ISO/IEC 20000-1:2005 requires the development of procedures in many sections throughout the Standard, and often in several parts of the same section, i.e.
 - 6.1 Service Level Management,
 - 6.5 Capacity Management,
 - 6.6 Information security Management,
 - 8.2 Incident Management,
 - 8.3 Problem Management ,
 - 9.1 Configuration Management,
 - 9.2 Change Management,
 - 10.1 Release Management.

Process documents

Both Standards follow the Plan, Do Check, Act (PDCA) approach to developing the Management System.

- ISO 9001:2000 section 0.2 "Process Approach"
- ISO/IEC 20000-1:2005 Section 4 "Planning and implementing service management"

Process documentation is considered by both Standards the core of the Management System, and the extent by which these are required must be defined by the requirements in the Standard, and as they have been recorded in the Management System itself.

APPENDIX FORMAT

A "Quick Reference" table will be included in the document. A sample is offered following:

ISO 9001:2000	ISO/IEC 20000-1:2005
4.2 Documentation Requirements.	3.2 Documentation requirements.
4.2.1 General a) documented statements of a quality policy and quality objectives, b) a quality manual, c) documented procedures required by this International Standard, d) documents needed by the organization to ensure the effective planning, operation and control of its processes	3.2 a) documented policy and plans 3.2 c) processes and procedures <i>Note that 4.2.2 Quality Manual is not included in ISO/IEC 20000-1:2005.</i>
Not applicable to this Standard	3.2 b) Service Level Agreements
4.2.1 General The quality management system documentation shall include e) records required by this International Standard (see 4.2.4).	3.2 d) records

This new work item is to be assigned to JTC 1/SC 7/WG23 and allocated a new standard number

Voting on the proposal - Each P-member of the ISO/IEC joint technical committee has an obligation to vote within the time limits laid down (normally three months after the date of circulation).

Date of circulation:	Closing date for voting:	Signature of Secretary:
2008-07-16	2008-10-16	W. Suryn

NEW WORK ITEM PROPOSAL - PROJECT ACCEPTANCE CRITERIA		
Criterion	Validity	Explanation
A. Business Requirement		
A.1 Market Requirement	Essential <input checked="" type="checkbox"/> X Desirable <input type="checkbox"/> Supportive <input type="checkbox"/>	<p>The worldwide IT service management industry has vigorously taken up ISO/IEC 20000-1:2005. The latter occurs often at the same time when ISO 9001:2000 is used as reference and its requirements are implemented.</p> <p>A clear and common guide is essential to IT organizations where services are delivered, to support and encourage the effective and efficient implementation of their management system.</p> <p>Lack of uniformity in the interpretation of the relationship between these two standards, permits individual service providers to by-pass or erroneously apply their requirements, resulting in confusion, over-expenditure, deviations from conformity and deficient implementations.</p> <p>There is an increasing need to define the application of ISO/IEC 9001 to the IT Service Management standard, as they are published today, notwithstanding future improvement work carried out by other working groups or technical groups.</p> <p>This Technical Report will not be a substitute for the use of ISO/IEC 20000-1:2005 as a standalone standard.</p>

A.2 Regulatory Context	Essential ____ Desirable ____ Supportive_X_ Not Relevant - --	Regulatory requirements apply to many industries using these two standards. A clear depiction of the relationship will support the compliance to regulations, avoiding scope issues between organizational and service management systems.
B. Related Work		
B.1 Completion/Maintenance of current standards	Yes _ X ____ No ____	The proposed new work item will support the future evolution of ISO/IEC 20000-1:2005 and ISO 9001 in their revision cycles.
B.2 Commitment to other organisation	Yes ____ No_ X ____	
B.3 Other Source of standards	Yes __X_ No ____	See ' Relevant documents to be considered '
C. Technical Status		
C.1 Mature Technology	Yes _ X ____ No ____	
C.2 Prospective Technology	Yes ____ No_ X ____	
C.3 Models/Tools	Yes __ ____ No -X----	
D. Conformity Assessment and Interoperability		
D.1 Conformity Assessment	Yes__ X _ No ____	See ' Purpose and Justification '
D.2 Interoperability	Yes _X ____ No ____	See ' Purpose and Justification '
E. Adaptability to Culture, Language, Human Functioning and Context of Use		
E.1 Cultural and Linguistic	Yes_____ No__X____	

E.2 Adaptability to Human Functioning and Context of Use	Yes _____ No <u> X </u> _____	
F. Other Justification		