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**Information technology — Service  
management —**

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

*Technologies de l'information — Gestion des services —*

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

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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.

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 20000-3:2012 was prepared by Joint Technical Committee ISO/IEC JTC 1, *Information technology*, Subcommittee SC 7, *Software and systems engineering*.

This first edition of ISO/IEC 20000-3 cancels and replaces the first edition of ISO/IEC TR 20000-3:2009, which has been technically revised to align with 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]<sup>1</sup>
- *Part 7: Guidance on the application of ISO/IEC 20000-1 to the cloud*<sup>2</sup>
- *Part 10: Concepts and terminology* [Technical Report]<sup>2</sup>
- *Part 11: Guidance on the relationship between ISO/IEC 20000-1:2012 and related frameworks: ITIL*<sup>®3</sup> [Technical Report]<sup>2</sup>

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<sup>1</sup> Under review as a second edition Technical Report.

<sup>2</sup> Under development.

<sup>3</sup> ITIL<sup>®</sup> is a Registered Trade Mark of the Cabinet Office.

## Introduction

ISO/IEC 20000-1 specifies requirements for a service management system (SMS). Operating the processes in a particular system or service environment will result in specific skill, tool and information requirements, even though the process attributes are unchanged. There are no requirements in ISO/IEC 20000-1 that relate to organizational structure, size and type of organization. The requirements in ISO/IEC 20000-1 do not change with organizational structure, technology or service.

Service management processes can cross many organizational, legal and national boundaries as well as different time zones. Service providers can rely on a complex supply chain for the delivery of services. Service providers can also provide a range of services to several different types of customers, both internal and external. A complex supply chain can make the agreement and application of scope a complex stage in the service provider's use of ISO/IEC 20000-1.

This part of ISO/IEC 20000 takes the form of examples, guidance and recommendations. It should not be quoted as if it were a specification of requirements. Particular care should be taken to ensure that declarations of conformity are not misleading.

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# Information technology — Service management —

## Part 3:

## Guidance on scope definition and applicability of ISO/IEC 20000-1

### 1 Scope

This part of ISO/IEC 20000 includes guidance on scope definition, applicability and demonstration of conformity to the requirements specified in ISO/IEC 20000-1.

The guidance in this part of ISO/IEC 20000 will assist the service provider to plan service improvements and/or prepare for a conformity assessment against ISO/IEC 20000-1.

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

Guidance on types of conformity assessment and assessment standards is included.

The scenarios and examples given use a series of commonly found and practical service provider circumstances.

This part of ISO/IEC 20000 will be useful for consultants and assessors. It supplements the guidance on the application of ISO/IEC 20000-1 given in ISO/IEC 20000-2.

### 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 apply.

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

The service provider should take into account that demonstrating conformity is only possible by fulfilling all requirements in ISO/IEC 20000-1. To do this the service provider should demonstrate that:

- a) all processes in ISO/IEC 20000-1 are documented;
- b) all processes produce the desired outcomes;
- c) the outcomes of service management are appropriate to support business needs and customer requirements;
- d) the SMS is managed to fulfil service requirements;
- e) the "Plan-Do-Check-Act" (PDCA) methodology is used for the continual improvement of the SMS and services;
- f) the service provider has governance of processes operated by other parties.

## 5 Applicability of ISO/IEC 20000-1

### 5.1 Who can use ISO/IEC 20000-1?

ISO/IEC 20000-1:2011, Clause 1.2 describes the application of the standard.

A broad range of service providers can use an SMS based on ISO/IEC 20000-1. ISO/IEC 20000-1 can apply to internal and external, large and small, commercial and non-commercial service providers. The applicability of ISO/IEC 20000-1 is independent of how the service is funded.

None of the requirements in ISO/IEC 20000-1:2011, Clauses 4 to 9 can be excluded from an assessment when a service provider claims conformity to ISO/IEC 20000-1:2011.

The service provider should have overall control of the SMS by fulfilling all the requirements of ISO/IEC 20000-1, Clause 4. The service provider can use other parties to support part of its fulfilment of Clause 4 requirements. For example, using a consultancy organization to support the development of the service management plan or to conduct internal audits.

The service provider can fulfil all requirements in ISO/IEC 20000-1:2011, Clauses 5 to 9 directly or by involving other parties. Other parties can be:

- a) suppliers;
- b) internal groups;
- c) customers (when acting as suppliers).

In ISO/IEC 20000-1:2011, Definition 3.35, a supplier is an organization or part of an organization that is external to the service provider's organization. A supplier can enter into a contract with the service provider to contribute to the design, transition, implementation, delivery, maintenance, improvement and management of services or processes. In ISO/IEC 20000, suppliers include lead suppliers but not sub-contracted suppliers. Lead suppliers should manage sub-contracted suppliers on behalf of the service provider, under a formal arrangement.

An internal group is part of the same organization as the service provider, but not under the direct control of the service provider. An internal group should have a documented agreement with the service provider, specifying the internal group's contribution to the services delivered by the service provider.

A customer, when acting as a supplier, is part of an organization that receives a service but also contributes to the operation of the service provider's SMS. For example, a customer can manage a service desk and

operate part of the incident and service request management process. The contribution made by the customer should be under the terms of a documented agreement between the service provider and customer (when acting as a supplier).

Whenever other parties are involved, the service provider should have governance of all processes within the scope of the SMS. This is described in Clause 5.2 of this part of ISO/IEC 20000, for processes operated by other parties. If other parties operate only a minority of the processes, the service provider can normally fulfil the requirements in ISO/IEC 20000-1. If the service provider relies on other parties for operation of the majority of the processes, the service provider can have difficulty in fulfilling all the requirements in ISO/IEC 20000-1.

A service provider that does not fulfil all requirements of ISO/IEC 20000-1:2011, based on service delivery to external customers, can aim to fulfil those requirements based on service delivery to its own organization.

It can be that ISO/IEC 20000-1 is not appropriate for a service provider and that another standard is more suitable. For example, ISO 9001, or a standard covering only some aspects of service management.

## **5.2 Governance of processes operated by other parties**

### **5.2.1 Processes operated by other parties**

The service provider should identify processes or parts of processes operated by other parties. The service provider should then ensure that contracts or documented agreements include its governance of the processes in the scope of the SMS that are operated by other parties. For example, the service provider is able to verify that the other party is adhering to agreed processes.

### **5.2.2 Accountability and adherence**

The service provider should demonstrate that it is both accountable and responsible for fulfilling the requirements of ISO/IEC 20000-1:2011, Clause 4.2, for all processes. This should include the processes operated by other parties. The service provider should have the authority to enforce adherence to the agreed processes operated by other parties.

The service provider should also be able to demonstrate that top management are committed to the SMS.

**EXAMPLE 1** If another party is responsible for resolution of an incident that impacts the customer's service, the service provider is still accountable to the customer for resolution of the incident.

**EXAMPLE 2** Requiring the other party to use a process established by the service provider and requiring regular audit by the service provider, of the use of the process.

### **5.2.3 Process definitions and interfaces**

The service provider should control the definition of the processes operated by other parties and interfaces to other processes in the SMS. Evidence of this includes the following:

**EXAMPLE 1** The service provider can demonstrate that it can request other parties to use specific processes. For example, the same change management process is operated by the service provider and its suppliers, under the terms of the contract between the service provider and each supplier.

**EXAMPLE 2** The service provider controls the processes operated by internal groups under the terms of a documented agreement.

**EXAMPLE 3** The service provider can demonstrate that it worked with other parties to document and approve the service reporting processes that other parties operate.

**EXAMPLE 4** Documenting, agreeing and operating the interfaces and dependencies of the change management process, operated by the supplier, with the configuration management process, operated by the service provider.

#### 5.2.4 Process performance

Under the requirements in ISO/IEC 20000-1:2011, Clause 4.2, the service provider should control the criteria for process performance. The service provider should also enforce adherence to its process requirements by other parties.

EXAMPLE 1 Setting criteria for process performance, such as availability targets or service request turnaround time.

EXAMPLE 2 Accessing a set of incident records and incident and service request management process performance measurements for another party, to ensure the other party is adhering to the agreed process.

#### 5.2.5 Process improvements

The service provider should control the planning of process improvements and the priority given to the improvements being made. Opportunities for improvement can be identified by the service provider or by other parties.

EXAMPLE 1 Assessing proposed improvements to incident management operated by an internal group and controlling how the improvements will be made. This includes the coordination of the incident management improvements to be made by the internal group with other changes to the service provider's SMS.

EXAMPLE 2 The service provider assesses a set of improvements in the capacity management process operated by another party. The service provider also controls the priority to be given to the allocation of resources needed to meet expected levels of performance. The service provider is also able to demonstrate that the changes are approved and implemented to support the fulfilment of service requirements.

#### 5.2.6 Management of other parties

Where a supplier is operating a process or part of a process, the service provider should manage the supplier through the supplier management process.

Where internal groups or customers (when acting as suppliers) operate processes or parts of processes, the service provider should manage them through the service level management process.

### 5.3 The extent of technology used to deliver services

The service provider should be aware that for ISO/IEC 20000-1:

- a) applicability is unaffected by the technology used for the delivery of services or the automation of processes in the SMS;
- b) technology used cannot change the requirements in ISO/IEC 20000-1;
- c) technology used can have an impact on the tool and data requirements as well as the personnel skills needed to support the process activities.

## 6 General principles for the scope of an SMS

### 6.1 Introduction

ISO/IEC 20000-1:2011, Clause 4.5.1 provides requirements for defining the scope of the SMS.

The service provider should define the scope of the SMS before establishing the SMS.

Top management of the service provider should ensure that the service management plan is created and includes the scope of the SMS. The SMS and scope definition should be maintained. Top management should be responsible for reviewing the scope of the SMS to enable continuing effectiveness and validity.

## 6.2 The scope of the SMS

### 6.2.1 Defining the scope

The scope definition should:

- a) be as simple as possible;
- b) be understandable without detailed knowledge of the service provider's organization;
- c) include enough information for use in conformity assessment;
- d) be worded so that any exclusions are clear;
- e) be stand-alone and not refer out to other sources.

See Annex B of this part of ISO/IEC 20000 for examples of scope definitions.

### 6.2.2 Scope definition and assessment

The service provider can discuss the scope of the SMS with its assessor. Reassurance that the proposed scope is valid, before establishing the SMS, can avoid setting false expectations. An assessor can discuss the scope of the assessment / audit as part of the audit planning, but should not provide consultancy on the SMS.

The service provider should be able to demonstrate that the scope is valid at the beginning of an assessment because it is used in the assessor's planning.

The service provider should be aware that only the evidence based on the scope of the SMS is considered during an assessment. Activities or services outside the scope of the SMS need not fulfil the requirements specified in ISO/IEC 20000-1. Exclusions do not have to be referred to in the scope definition but can help to make the scope definition unambiguous.

### 6.2.3 Limits to the scope

Where the service provider includes an entire organization or business area in the SMS, defining the scope of an SMS can be relatively simple. This is because the scope can be defined as all the services delivered by the service provider.

If the service provider includes only some of its activities in the SMS it can be harder to define the scope in simple terms or to avoid ambiguity. A demonstration of conformity can be the fulfilment of all requirements in ISO/IEC 20000-1 for a scope based on a simple service delivered to one customer. This can be a small proportion of the service provider's total activities or services.

A service provider can have many customers and deliver many services. Consequently, the scope of the SMS can include services for several customers. When this is the case, the processes should be consistent but the procedures used to deliver services for each customer can vary in detail. If a customer is identified in the scope definition, the organization should fulfil all requirements of ISO/IEC 20000-1 for that customer.

## 6.3 Agreements between customers and the service provider

The service provider cannot use the terms of a contract or documented agreement with a customer to reduce its obligations to fulfil all the requirements of ISO/IEC 20000-1. This is the case even if the terms of a contract or documented agreement limits the services and processes. Also, the terms of a contract or documented agreement cannot reduce an assessor's obligations to obtain evidence of conformity to the requirements of ISO/IEC 20000-1.

## 6.4 Scope definition parameters

### 6.4.1 Parameters required by ISO/IEC 20000-1

The service provider should use parameters to define the scope of the SMS to ensure that there is no ambiguity about what is included and excluded.

The parameters should include at least:

- a) organizational units providing services, e.g. a single department, group of departments or all departments;
- b) services delivered, e.g. a single service, group of services or all services, financial services, retail services, email services.

EXAMPLE The scope definition can be:

The SMS of <name of service provider organizational unit> that delivers <service(s)>.

In an actual scope definition the <name of the service provider organizational unit> should not be simply "The service provider". This is because many organizations include a service provider and some organizations include more than one.

### 6.4.2 Other parameters

The service provider should consider other parameters where additional information can avoid ambiguity in the scope definition. Use of other parameters is shown in the examples and in Annex B of this part of ISO/IEC 20000.

EXAMPLE The scope definition can be:

The SMS of <name of service provider organizational unit> that delivers <technology><services> from <service provider location> to <customer> at <customer location>.

The parameters can be used in whatever order the service provider considers suitable. Other parameters can be used.

The scope definition for an SMS can encompass several customers, without explicitly listing individual customers. For example, by referring to all services from the data centre at a named location or referring to all data storage services.

The service provider should not include the names of other parties or external organizations, even if they contribute to the SMS and services.

### 6.4.3 Sampling for assessment

If the scope includes many customers, services or locations the assessor can assess a sample, using his/her professional judgement for selection of the sample. The scope definition should include all customers, services and locations within the scope of the SMS, not just those sampled.

## 6.5 Validity of scope definition

The service provider should ensure that the scope of the SMS remains valid after it has been documented. The service provider should do this by conducting reviews at planned intervals to identify discrepancies. If the actual scope does not match the defined scope, then the scope definition should be amended. If the difference is considered significant, a re-assessment can be required.

The service provider should be aware that a substantial change to the services can require a substantial change to the SMS. The service provider should ensure that an internal audit assesses whether this change means the SMS no longer fulfils the requirements of ISO/IEC 20000-1. If an SMS is certified to

ISO/IEC 20000-1, a substantial change to the SMS should be notified to the certification body that awarded the certificate, because re-assessment can be required.

A major change to the scope of the SMS can mean that the service provider cannot demonstrate conformity to the requirements in ISO/IEC 20000-1. The scope of the SMS can also decrease when services are removed. The definition of the scope can also change based on other parameters such as customers or locations being added or removed.

Some scope definitions refer to a service catalogue. This is not good practice if the service catalogue is changed and the scope definition is no longer accurate. However, using the service catalogue in the scope definition can be useful if the scope is complex. If a service catalogue is used there should be evidence that the services included are justified on the basis of the SMS fulfilling the requirements of ISO/IEC 20000-1.

An example scope definition using a service catalogue is given below.

**EXAMPLE** The scope definition can be:

The SMS of <name of service provider organizational unit> that delivers all services in <service catalogue> to <customer organizational name and/or name of organizational unit> from <geographical location>.

**NOTE** The assessors role in verifying evidence, such as a scope definition, is described in ISO/IEC 17021:2011, Conformity assessment — Requirements for bodies providing audit and certification of management systems.

## 6.6 Changing the scope

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

When the scope is revised it can be necessary to re-assess the SMS. This can be the case even if the SMS was not due for a planned re-assessment.

A major change to the scope of the SMS should be managed as a project or programme of improvements. This can minimize the risk to the service and to the service provider's ability to demonstrate conformity to the requirements in ISO/IEC 20000-1.

## 6.7 Supply chains and SMS scope

### 6.7.1 Reliance on other parties

The service provider should be aware that understanding the supply chain is fundamental to defining an effective scope for the SMS. Being reliant on other parties for part of the service delivered need not prevent the service provider demonstrating conformity to ISO/IEC 20000-1. The service provider should take into account how the scope of the SMS is influenced by the relationships between the organizations in a supply chain.

### 6.7.2 Demonstrating conformity across the supply chain

The service provider should have evidence of conformity to the ISO/IEC 20000-1:2011, Clause 4.2 requirements for governance of processes operated by other parties. This is described in Clause 5.2 of this part of ISO/IEC 20000.

For suppliers, the service provider should have evidence of fulfilment of the supplier management process requirements in ISO/IEC 20000-1:2011, Clause 7.2. This should include evidence of suitable contracts between suppliers and the service provider.

The service provider should have evidence of fulfilment of the requirements for managing internal groups or customers acting as suppliers in ISO/IEC 20000-1:2011, Clause 6.1. This should include a documented agreement with the internal groups or customers acting as suppliers.

Other parties in a supply chain need not conform to ISO/IEC 20000-1 for the service provider to demonstrate conformity.

When the service provider and another party, such as a supplier, are both seeking to demonstrate conformity to ISO/IEC 20000-1, each can implement an SMS and each can fulfil all the requirements independently. When the same process is used by two or more organizations, only one can demonstrate governance of that process. The other organization can aim to demonstrate process governance of a separate usage of the same process.

The service provider should ensure that there is clarity on the different usages of the same process. This should include separate documents and records for each usage. This can affect the service provider's SMS for planning and for the assessment against ISO/IEC 20000-1. This can occur for service providers with more than one customer. It can also occur for organizations that rely on a complex supply chain of many other parties, including multiple suppliers, lead suppliers and sub-contracted suppliers.

As well as ISO/IEC 20000-1:2011, Clause 4.2, other requirements influence scope, applicability and the ability to demonstrate conformity. An organization external to the service provider can have access to, use of, or have the ability to manage the service provider's information or services. When this is the case, the service provider and the external organization should implement agreed information security controls, see ISO/IEC 20000-1:2011, Clause 6.6.2. In these cases if the information security controls are not operated, the external organization's contribution should be excluded from the scope of the SMS.

## **6.8 Integrating or aligning with other management systems**

The service provider should be aware that ISO/IEC 20000-1 supports alignment and/or integration of an SMS with other management systems. The inclusion of the PDCA methodology in ISO/IEC 20000-1 enhances compatibility with other management system standards.

The service provider should be aware that there can be differences in the scope of the SMS and other management systems. The service provider should also be aware that each type of management system has a different purpose. The SMS, ISMS and QMS each include areas of focus that the other two do not.

Those aspects of each management system that are common should be integrated to enable greater efficiency, effectiveness and consistency. For example, documentation requirements or management responsibilities.

The service provider can define the scope of its SMS as geographically or organizationally identical to the scope of other management systems. For example, an information security management system (ISMS) based on ISO/IEC 27001 or a quality management system (QMS) based on ISO 9001. When a service provider is defining the scope of an integrated management system conforming to more than one management system standard, the scope definition is more complex. Requirements for each management system standard should be taken into account. For example, a management system that conforms to both ISO/IEC 20000-1 and ISO/IEC 27001 should not start with "The SMS.....".

## **Annex A**

(informative)

### **Main points on scope of the SMS, applicability and conformity to ISO/IEC 20000-1**

#### **A.1 General**

When defining the scope of an SMS, including the scope for an ISO/IEC 20000-1 assessment, the service provider should consider the points described in this annex.

#### **A.2 Multiple legal entities**

Third-party certification bodies can require that an ISO/IEC 20000-1 certificate can only be issued to a single legal entity, not a consortium of different legal entities.

#### **A.3 Commercial status**

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

The service provider should have budgeting and accounting policies and procedures for assets used for service delivery. The service provider need not own the assets.

#### **A.4 Process names**

Process names need not be those used in ISO/IEC 20000-1. The requirements in ISO/IEC 20000-1 are focused on processes, their content, capability, quality and usage.

Processes can be combined or split in different ways than as they are specified in ISO/IEC 20000-1, as long as all requirements are fulfilled. For example, service continuity and availability management can be two separate processes, change management and release and deployment management can be combined as one process.

Mapping of the process names used to those in ISO/IEC 20000-1 can assist the understanding of how the requirements specified in ISO/IEC 20000-1 are fulfilled.

#### **A.5 Inclusions and exclusions**

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

The service provider should fulfil all requirements specified in ISO/IEC 20000-1 for activities included in the scope definition. For example, all the service management processes should be implemented and operated.

#### **A.6 Authorities and responsibilities**

The service provider should be aware of the importance of clarity on authorities and responsibilities.

The service provider should retain governance and operational responsibility for ISO/IEC 20000-1:2011, Clause 4, but can use other parties to support this.

The service provider should operate the majority of the processes ISO/IEC 20000-1:2011, Clauses 5 to 9.

The service provider should ensure there is clarity on authority and responsibility for processes operated by other parties.

The service provider should:

- a) identify and document all processes or parts of processes in the scope of the SMS, including those that it does not operate;
- b) identify which parties operate which processes or parts of processes;
- c) place obligations on the other parties so that the service provider can demonstrate governance of these processes.

The service provider should require all external organizations to operate information security controls. This should be a condition for allowing access to, use of, or the ability to manage the service provider's information or services. If the controls are not operated any contribution made by that external organization should be excluded from the scope definition.

## **A.7 Interfaces and process integration**

The service provider should ensure there is clarity on boundaries between the service provider and customers and between the service provider, other parties and external organizations.

The service provider should have appropriate integration of processes, which is fundamental to service management good practices and is required by ISO/IEC 20000-1.

The service provider should have documentation defining interfaces between processes and to demonstrate clearly how the interfaces are controlled by the service provider.

## **A.8 Evidence of conformity**

Two organizations cannot both use the same evidence to demonstrate conformity.

## **A.9 Parameters for scope definition**

The service provider should use parameters that unambiguously define the scope of the SMS. The scope definition should be easy to understand by interested parties that are not part of the service provider's organization. The minimum parameters for the scope definition are the name of the service provider and the services delivered.

## **A.10 Extending the scope of the SMS**

If the scope is increased, the service provider should conform to ISO/IEC 20000-1 for all the new activities in the revised scope.

## Annex B (informative)

### Scenario based scope definitions

#### B.1 General

The following examples are illustrations of the types of scope definitions suitable for an SMS that fulfils the requirements of ISO/IEC 20000-1. In the figures, the arrows indicate that a service flows from the service provider to its customer(s) as well as from the service provider's suppliers to the service provider. To simplify the figures, operational activities are not shown. Each example is a separate situation and each includes suitable scope definitions. Most examples are based on the service provider – supplier relationship. Similar logic applies to all other parties.

#### B.2 Scenarios 1,2 and 3: Supply chains

##### B.2.1 Scenario 1: Simple supply chain with an external service provider

In Figure B.1, Scenario 1 illustrates a service provider external to its customer's organization (Customer A). This is commonly a commercial arrangement where one service provider delivers services to several customers. For simplicity, Figure B.1 shows only one customer.

In Scenario 1, the external service provider is providing a storage service for document archiving. In order to achieve conformity with ISO/IEC 20000-1:2011, Clause 4.2, for its own SMS the external service provider should:

- a) have accountability for the service management processes in ISO/IEC 20000-1:2011, Clauses 5 to 9 and the authority to require adherence to the processes;
- b) control the definition of the processes and interfaces to other processes in ISO/IEC 20000-1:2011;
- c) control the determination of process performance and compliance;
- d) control the planning and prioritization of process improvements.

The contracts between the external service provider and its suppliers should ensure that the external service provider has control of points a to d.

##### B.2.2 Scenario 2: Role of a "Direct supplier of services" managed by Customer B

In Figure B.1, Scenario 2 illustrates an internal service provider, part of the same organization as Customer B. In this second scenario the "Direct supplier of services", shown in the dotted line box, is managed directly by Customer B and its contract is also with Customer B. The internal service provider cannot also have governance of the processes operated by the "Direct supplier of services". As a result, the contribution made by the "Direct supplier of services" should be excluded from the internal service provider's scope definition.

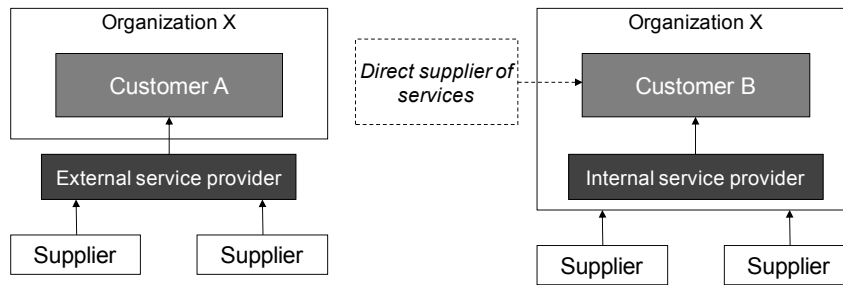


Figure B.1 — Scenarios 1 and 2: Relationship with suppliers

### B.2.3 Scenario 3: Suppliers, lead suppliers and sub-contracted suppliers

When the service provider has several suppliers, the service provider can appoint one supplier as the lead supplier. The three-stage supply chain becomes a four-stage supply chain, as illustrated in Figure B.2. The service provider and lead supplier should have a direct relationship and a contract. This applies to both the external and internal service providers.

Under the terms of this contract, the lead supplier should manage the sub-contracted suppliers on behalf of the service provider. The sub-contracted suppliers should have a contract with the lead supplier, not with the service provider. There should not be a direct relationship between service provider and the sub-contracted suppliers. There should be clarity on the responsibilities of the lead supplier in order to define the scope of the service provider's SMS.

In Scenario 3, Figure B.2, the lead supplier operates some of the processes and the governance of those processes is performed by the service provider. A service provider cannot conform to ISO/IEC 20000-1:2011, Clause 4.2, when the contract with a lead supplier prevents the service provider's governance of processes operated by that lead supplier.

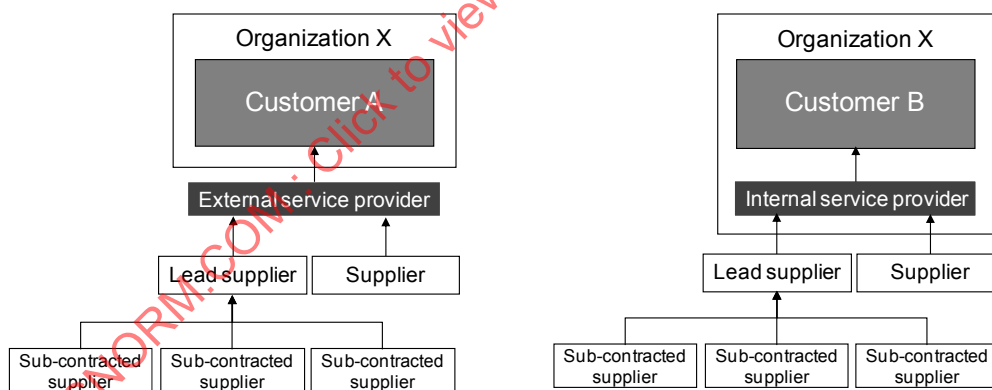


Figure B.2 — Scenario 3: Relationship with lead suppliers and sub-contracted suppliers

### B.2.4 Requirements for complex supply chains

Service providers should be aware that supply chains are often far more complex than the four-level supply chain illustrated in Figure B.2. The scope of the SMS can be defined if the service provider understands:

- what is required for governance of each process;
- which organization operates which part of each process;
- which organization is its lead supplier.

The service provider is required to retain overall accountability for the service, irrespective of where the service originates in the supply chain.

### B.3 Scenario 4: Simple scenario following improvements

#### B.3.1 Background

An internal service provider is the sole service provider to Customer C. Both are in Organization X, as illustrated in Figure B.3. The internal service provider uses service management good practices for all services offered to (internal) Business units 1, 2 and 3. The internal service provider hopes to demonstrate conformity to ISO/IEC 20000-1 and plans to complete implementation of the service management processes for all its services within the next year. The internal service provider intends to operate all service management processes itself. There are three suppliers, but none of them supply services relevant to the SMS.

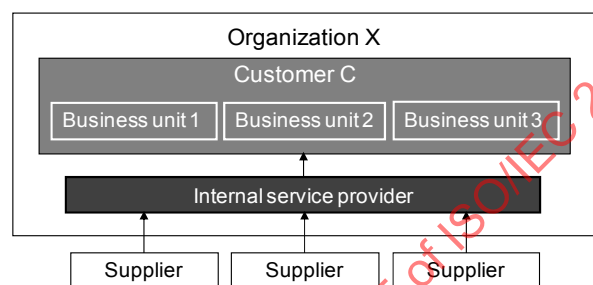


Figure B.3 — Scenario 4: Scope definition

#### B.3.2 Can the internal service provider demonstrate conformity?

The internal service provider of Customer C can demonstrate conformity when the process implementation and improvements are complete and the internal service provider fulfils all the requirements.

#### B.3.3 What is the scope definition for the internal service provider?

This is a straightforward scenario. The internal service provider, as part of Organization X, can define the scope of its SMS based on its departmental activities and its service management processes. There is no ambiguity about which internal service provider delivers services, because the service provider is referred to as being part of Organization X, delivering services to Customer C.

**EXAMPLE** The scope definition can be:  
The SMS of the internal service provider of Organization X that delivers internal services to Customer C.

### B.4 Scenario 5: Outsourced function

#### B.4.1 Background

Scenario 5, illustrated in Figure B.4, is similar to Scenario 4, but Customer D's service desk function is provided by the external supplier, Supplier 1. In Scenario 5, Supplier 1 is responsible for delivering operational first-line support services, via the service desk function. This involves operating part of the incident and service request management process on behalf of the internal service provider. Although Supplier 1's service is used by the whole of Organization X, the agreement is between Supplier 1 and the internal service provider. The three other suppliers do not deliver services relevant to the SMS.

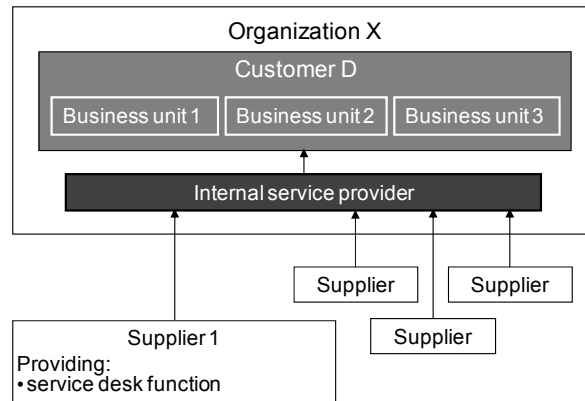


Figure B.4 — Scenario 5: Scope definition

#### B.4.2 Can the internal service provider demonstrate conformity?

Yes, if the internal service provider can demonstrate governance of the processes that span the boundary between the internal service provider and Supplier 1. For example, those used for the incident and service request management process.

ISO/IEC 20000-1 does not include requirements for specific departments or functions to be included in the scope of the SMS or named in the scope definition. A service desk is a function, not a process, so the internal service provider need not have governance of the personnel and facilities of an outsourced service desk function. The service provider should have governance of the processes operated by the service desk function.

There should be evidence that the processes operated by the service desk function and the interfaces between these processes and the rest of the SMS are defined. This includes where the processes span the boundary between organizations. For example, the incident and service request management process can be defined to ensure that the following is possible.

- a) All incidents and service requests for the defined services are recorded.
- b) The procedures to manage the impact of incidents and service requests are co-ordinated between the supplier of the service desk function and the internal service provider.
- c) The procedures that define the recording, prioritization, business impact, classification, updating, escalation, resolution and formal closure of all incidents and service requests are aligned where appropriate.
- d) Customer D is kept informed of the progress of reported incidents and service requests.
- e) All personnel operating the incident and service request management process have access to relevant information. This includes known errors, problem resolution records and configuration management database information being accessible to first-line personnel in the service desk and the internal service provider's second-line and third-line personnel.
- f) Information and management reports from the service desk are accessible by the internal service provider, as the service management processes cannot be effectively managed without them.
- g) The internal service provider to Customer D has access to all of Supplier 1's incident, service request and problem records relating to Customer D's services.

### B.4.3 What is the scope definition for the internal service provider?

EXAMPLE The scope definition can be:

The SMS that supports the delivery of services to Customer D by the internal service provider of Organization X.

Although Supplier 1 provides the service desk function, this scope definition is valid if the internal service provider has retained governance of all the processes required by ISO/IEC 20000-1. As described in Clause 6.4.2 of this part of ISO/IEC 20000, the scope definition should not include the name of Supplier 1.

### B.4.4 Can Supplier 1 demonstrate conformity using the same evidence?

No, Supplier 1 cannot demonstrate governance of the same set of processes as the internal service provider.

In Scenario 5 the internal service provider can provide evidence that demonstrates governance of the processes, i.e. for Supplier 1's services delivered to Customer D's internal service provider. Supplier 1 cannot also use the same evidence for those same processes. As described in Clause 4 of this part of ISO/IEC 20000, a service provider can only demonstrate conformity to ISO/IEC 20000-1 if all requirements are fulfilled. However, Supplier 1 can aim to demonstrate conformity for services to other organizations, by demonstrating governance of the processes operated for the other organizations. Supplier 1 can aim to demonstrate conformity to ISO/IEC 20000-1 based on its own internal processes, i.e. those services and processes used to support its own personnel.

## B.5 Scenario 6: Outsourced function and services

### B.5.1 Background

Scenario 6, illustrated in Figure B.5, shows that Supplier 2 provides the service desk function. Supplier 2 also delivers the application management services for Customer E's back office systems. The application management services are the development, support and maintenance of all applications. Supplier 2 controls the processes used for the application management services.

The internal service provider has retained all aspects of management of the infrastructure, including governance of processes. Infrastructure management is the design and planning, deployment, operation and technical support of the infrastructure.

The three other suppliers do not supply services relevant to the SMS.

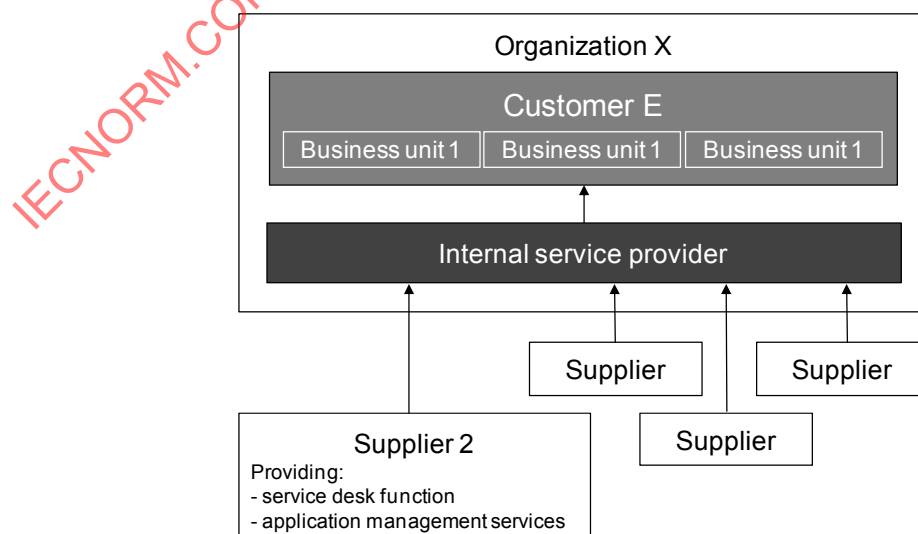


Figure B.5 — Scenario 6: Scope definition

### **B.5.2 Can the internal service provider demonstrate conformity?**

Yes. In Scenario 6, the internal service provider's SMS includes all the processes to fulfil ISO/IEC 20000-1 requirements, based on the infrastructure management services. As a result, the internal service provider can aim to demonstrate governance of all the required processes. Application management services should not be included in the scope of the SMS. Application management services are not required for the internal service provider to demonstrate conformity to ISO/IEC 20000-1.

In Scenario 6 there should be a contract between the internal service provider and Supplier 2, defining the requirements placed on Supplier 2. During an assessment, the internal service provider should be able to demonstrate that this contract exists and includes the requirements placed on Supplier 2. The contract should describe how the internal service provider can demonstrate governance of processes operated by Supplier 2 that are in the scope of the internal service provider's SMS.

The internal service provider should also be able to demonstrate that the supplier management process is effective for management of Supplier 2. An assessor can require evidence of fulfilment of the supplier management process and governance of processes operated by other parties. For example, records such as service reports given to the internal service provider by Supplier 2. However, other parties, including Supplier 2, need not conform to ISO/IEC 20000-1 in order for Customer E's internal service provider to demonstrate conformity.

### **B.5.3 What is the scope definition for the internal service provider?**

EXAMPLE The scope definition can be:

The SMS that supports the delivery of all infrastructure management services to Customer E by the internal service provider of Organization X.

Although the internal service provider has outsourced some of its operational activities and services to Supplier 2, the scope definition is valid. This is because the internal service provider has governance of all the processes for infrastructure management.

### **B.5.4 Can Supplier 2 demonstrate conformity for all services delivered to Customer E?**

Supplier 2 can aim to demonstrate conformity to ISO/IEC 20000-1 for its application management services, including governance of the processes relevant to those application management services. If Supplier 2 cannot demonstrate governance of these processes, Supplier 2 can aim to demonstrate conformity for other services, other customers, or Supplier 2's own internal processes.

## **B.6 Scenario 7: Extensive outsourcing**

### **B.6.1 Background**

As illustrated in Figure B.6, Customer F's internal service provider's service desk, infrastructure management, and application management services are outsourced to an external supplier, Supplier 3. The incident and service request management and problem management processes are outsourced to Supplier 3. Customer F did this to avoid investing in tools for use by its own internal service provider.

In addition, Customer F has decided to avoid the management involvement necessary for its internal service provider to operate an effective configuration management process. Customer F also decided to minimize management involvement in service delivery and in resolution of problems and incidents. This decision was made in order to concentrate management effort on project-based activities.

The three other suppliers shown in Figure B.6 do not supply services relevant to the SMS.

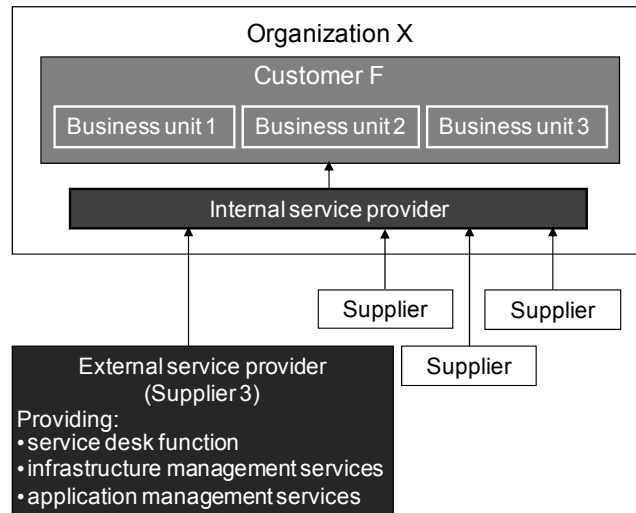


**Figure B.6 — Scenario 7: Scope definition**

### B.6.2 Can the internal service provider demonstrate conformity?

No. Avoiding investment in tools is not a barrier to demonstrating conformity to ISO/IEC 20000-1. However, in Scenario 7 the internal service provider is neither directly responsible for, nor has governance of, some processes in ISO/IEC 20000-1.

Failing to fulfil the requirements for the incident and service request management, problem management and configuration management processes are not the only issues in this scenario. ISO/IEC 20000-1:2011 includes requirements for the management of the interfaces between processes and for the effective integration of processes. This also affects processes such as change management and release and deployment management that are closely linked to the outsourced processes.

The biggest barrier to this internal service provider demonstrating conformity is the decision to minimize management involvement in service management. As a direct result, the internal service provider cannot fulfil some of the most fundamental requirements. ISO/IEC 20000-1 specifies many requirements that cannot be met unless there is demonstrable management involvement and commitment, as well as prioritization of process improvement. Top management should also be responsible for the quality of the service.

This internal service provider can demonstrate governance of only some of the processes in ISO/IEC 20000-1 and cannot fulfil many of the requirements itself. Under these circumstances, ISO/IEC 20000-1 is not applicable to this internal service provider. This is the case even if the internal service provider has an effective supplier management process.

Although this internal service provider cannot fulfil all requirements, ISO/IEC 20000-1 can be useful as an objective for the processes where the internal service provider does retain governance. It can also be useful as a requirement of its suppliers, including Supplier 3.

### B.6.3 Can Supplier 3 demonstrate conformity?

In Scenario 7, Supplier 3 is responsible for all the service management processes for cloud based infrastructure management and application management services delivered to Customer F. As a result, Supplier 3 can aim to demonstrate governance of all the required processes for the cloud based services.

Supplier 3 can also have evidence of conformity irrespective of whether the services delivered are cloud based or not cloud based.

#### B.6.4 What is the scope definition for Supplier 3?

EXAMPLE The scope definition can be:

The SMS that supports the delivery of all infrastructure management and application management services to Customer F by Supplier 3.

### B.7 Scenario 8: A supplier as both internal and external service provider

#### B.7.1 Background

Figure B.7 illustrates a scenario where the internal service provider of Customer G has demonstrated conformity to ISO/IEC 20000-1 for infrastructure management services. To do this the internal service provider demonstrated governance of those processes or parts of processes operated by Supplier 4 that were relevant to its own SMS and infrastructure management services. This includes the processes used to deliver the service desk services. The three other suppliers do not supply services relevant to the SMS.

Supplier 4 now aims to demonstrate conformity to ISO/IEC 20000-1 because several customer organizations have specified this in invitations to tender.

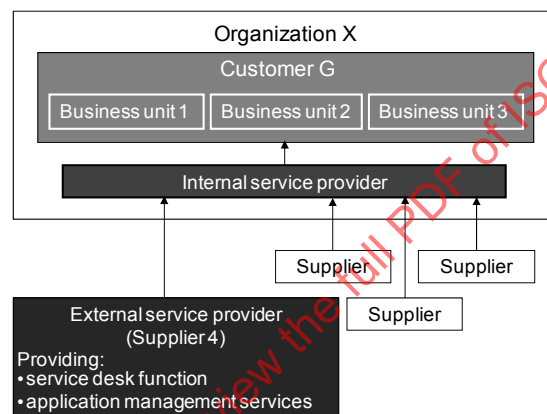


Figure B.7 — Scenario 8: Scope definition

#### B.7.2 Can Supplier 4 demonstrate conformity?

Yes, this is possible, as long as certain conditions are met. Supplier 4 cannot demonstrate conformity using the processes or parts of processes that are under the governance of the internal service provider shown in Figure B.7.

However, the internal service provider of Customer G has only demonstrated conformity for its SMS delivering infrastructure management services. Therefore, if Supplier 4 can demonstrate governance of the processes used for the applications management service, Supplier 4 can instead aim to demonstrate conformity for these processes. There should be clarity on the different usages of the same process. As described in Clause 6.7.2 of this part of ISO/IEC 20000, this should include separate documents and records for each usage. Supplier 4 can also aim to demonstrate conformity for services delivered to other customers or to Supplier 4's own organization.

#### B.7.3 Supply chain implications: Supplier 4 as both internal and external service provider

Scenario 8 has similarities to Scenario 6. However, Scenario 8 also illustrates why the implications of the supply chain should be understood when defining the scope of the SMS. This is illustrated by redrawing Figure B.7 as Figure B.8. Supplier 4, shown in Figure B.8, is actually part of a bigger organization, Organization V. This is not shown in Figure B.7.

Part of Organization V is the external service provider to Customer H. This part of Organization V is also the external service provider to "Other customers" and the internal service provider to Organization V's internal users. This is also shown in Figure B.8.

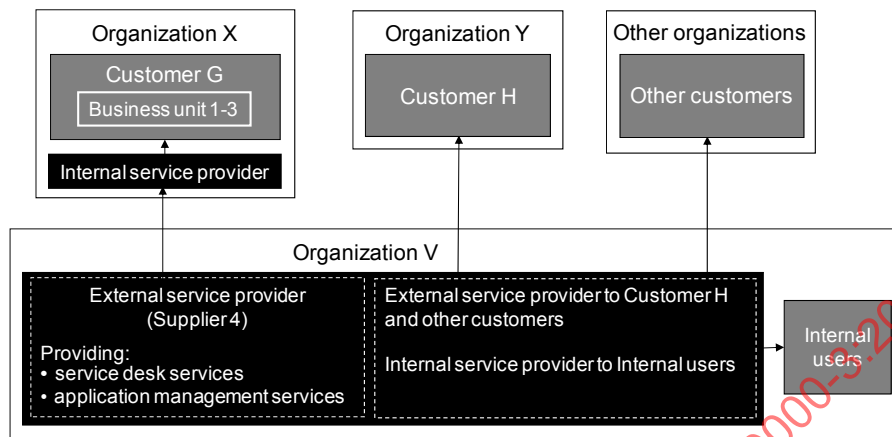


**Figure B.8 —Scenario 8: Redrawn to show Supplier 4, part of Organization V**

Part of Organization V is required to define and establish an SMS, including a valid scope definition for services delivered to Customer H. The scope definition should only include services where all requirements are fulfilled and process governance is demonstrated. If this part of Organization V cannot demonstrate governance of processes for the service delivered to external customers, it can aim to do this for services delivered to internal users.

#### B.7.4 What is the scope definition for the supplier Organization V?

The example scope definition below is relatively simple. It is normally advisable to provide an explicit list of services, rather than just the word "services" as the actual services can change. However, this has been omitted, as the scope definition below is merely an example.

**EXAMPLE** An example scope definition for Organization V can be:  
The SMS that supports the delivery of all services to Customer H by Organization V.

When using "all services", particular care should be taken to ensure that the scope definition is not misleading. If the range of services delivered changes, the SMS should also change, for example, in the service catalogue. This is also described in Clause 6.5 of this part of ISO/IEC 20000.

By referring to Customer H, it is clear that the scope of the SMS does not include Customer G, Other customers or the internal users.

This example scope definition implies all locations are included because it includes no references to geography or location. If this is not correct, explicit references to locations should be included. If the service provider personnel are located at all locations, it should refer to "all locations".

### B.8 Scenario 9: Complex supply chains and governance of processes

#### B.8.1 Background

Figure B.9 shows a more complex supply chain. The service provider that is both an internal and external service provider is part of Organization W. This service provider can fulfil the requirements for only some of the processes in ISO/IEC 20000-1 for its external customers, Customers K, L and M.

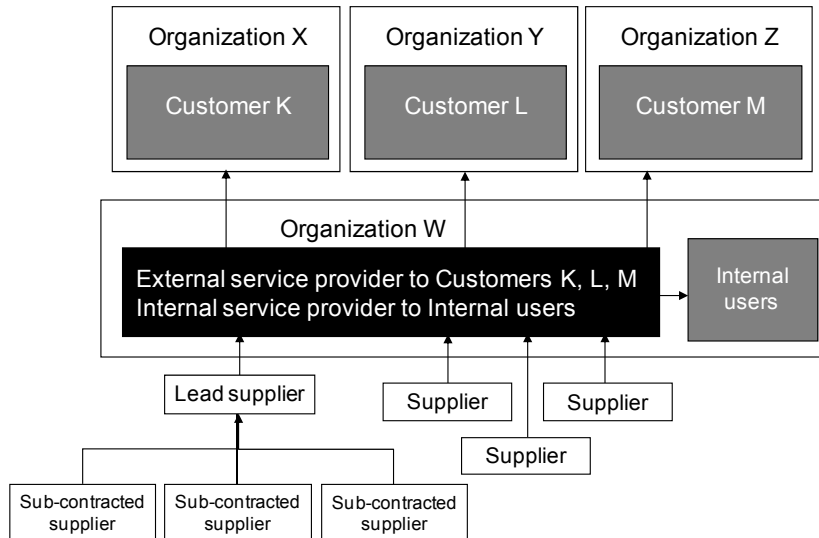


Figure B.9 — Scenario 9: Scope definition 9

### B.8.2 Can the service provider define a scope acceptable for certification?

No. Not if the scope of the SMS relates only to the services delivered to external customers. This is because, as stated, the scope based on external services does not fulfil the requirements for all processes.

However, the service provider can define a valid scope for its SMS as an internal service provider, if the service provider's own internal services conform to ISO/IEC 20000-1. The scope definition should then make it clear that this is based on internal services.

Scenario 9 can occur where the service provider delivers highly specialised services to external customers. This can also occur if the service provider has opted to make improvements to the SMS for internal customers, before implementing the improvements for external customers.

When the supply chain is complex, as in Scenario 9, there can be poor alignment between the services agreed with customers and the services agreed with suppliers. For example, when a service provider agrees service targets with suppliers that do not meet the service targets agreed with the customers. The service provider should check and correct this early in the planned improvements because poor alignment can prevent demonstration of conformity.

### B.8.3 What is the scope definition for the external service provider?

An acceptable scope definition for the service provider when acting as an internal service provider to Organization W is given in the example:

**EXAMPLE** If all processes in ISO/IEC 20000-1 are operated the scope definition can be:  
The SMS that supports the delivery of all services to the internal users, by Organization W.

## B.9 Scenario 10: Scope definition

### B.9.1 Background

Figure B.10 illustrates two external service providers that are suppliers to the internal service provider of Customer N. This arrangement is in place because Customer N wishes to have a comprehensive outsourced solution.

For both external service providers A and B the arrangement with Customer N is recent. Both external service providers have previously demonstrated conformity to ISO/IEC 20000-1 as service providers to other customers. Both are now required to demonstrate conformity to ISO/IEC 20000-1 for services to the internal service provider of Customer N, within 2 years of the contract being signed.

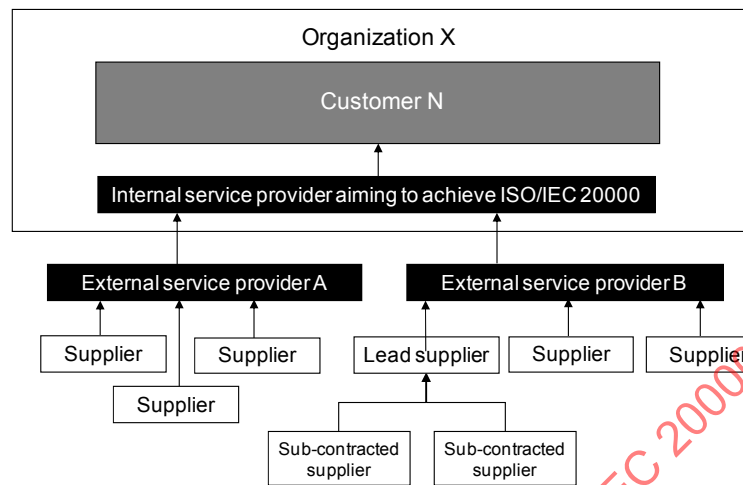


Figure B.10 — Scenario 10: Scope definition

## B.9.2 Can an acceptable scope be defined for services delivered to Customer N?

This will depend on the details of the arrangements, as described below.

## B.9.3 Four variants for Scenario 10

### B.9.3.1 Scenario 10a

If governance of the ISO/IEC 20000-1 processes has been outsourced to external service providers A and B then either, or both, of the external service providers can aim to demonstrate conformity to ISO/IEC 20000-1.

In these circumstances, it is unlikely that the internal service provider of Customer N can also demonstrate conformity to the requirements specified in ISO/IEC 20000-1. Instead, the internal service provider can rely on conformity by its suppliers, external service providers A and B. The internal service provider should consider operating as a supplier management group. The internal service provider can also decide that other standards are more appropriate for its supplier management.

### B.9.3.2 Scenario 10b

If governance of the ISO/IEC 20000-1 processes was retained by the internal service provider, the internal service provider can aim to demonstrate conformity to ISO/IEC 20000-1. Therefore, in Scenario 10b, neither of the external service providers A and B can demonstrate conformity for the services delivered to Customer N. This is the case despite conformity being a condition of the outsourcing contract. Nor does this approach represent the comprehensive outsourcing that was intended by Customer N, as described in Clause B.9.1 of this part of ISO/IEC 20000.

### B.9.3.3 Scenario 10c

If both the external service providers separately fulfil the requirements specified in ISO/IEC 20000-1, both can then aim to demonstrate conformity to ISO/IEC 20000-1 for the services to Customer N. To do this they should each manage the processes individually and separately. This can be achieved if each external service provider has responsibility for different services. For example, external service provider A delivers the data centre service and external service provider B delivers the network and desktop infrastructure services. In