

Planning ISO/IEC 20000 Certification

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Planning ISO/IEC 20000 Certification

- The following request was posted on an itSMF discussion forum:

“Does anyone have a project plan for gaining ISO20000 accreditation they may be able to share?”

Any level of detail would be fine.

Catch 22 - but I need to get justification to proceed with this project, but before I can, I need to produce the project plan.

Thanks for any help. Dave”

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- The following request was posted on another discussion forum:

“We have an ISO 20000 audit next week.

Would there be anyone who could provide guidance on how the auditors go about the job?

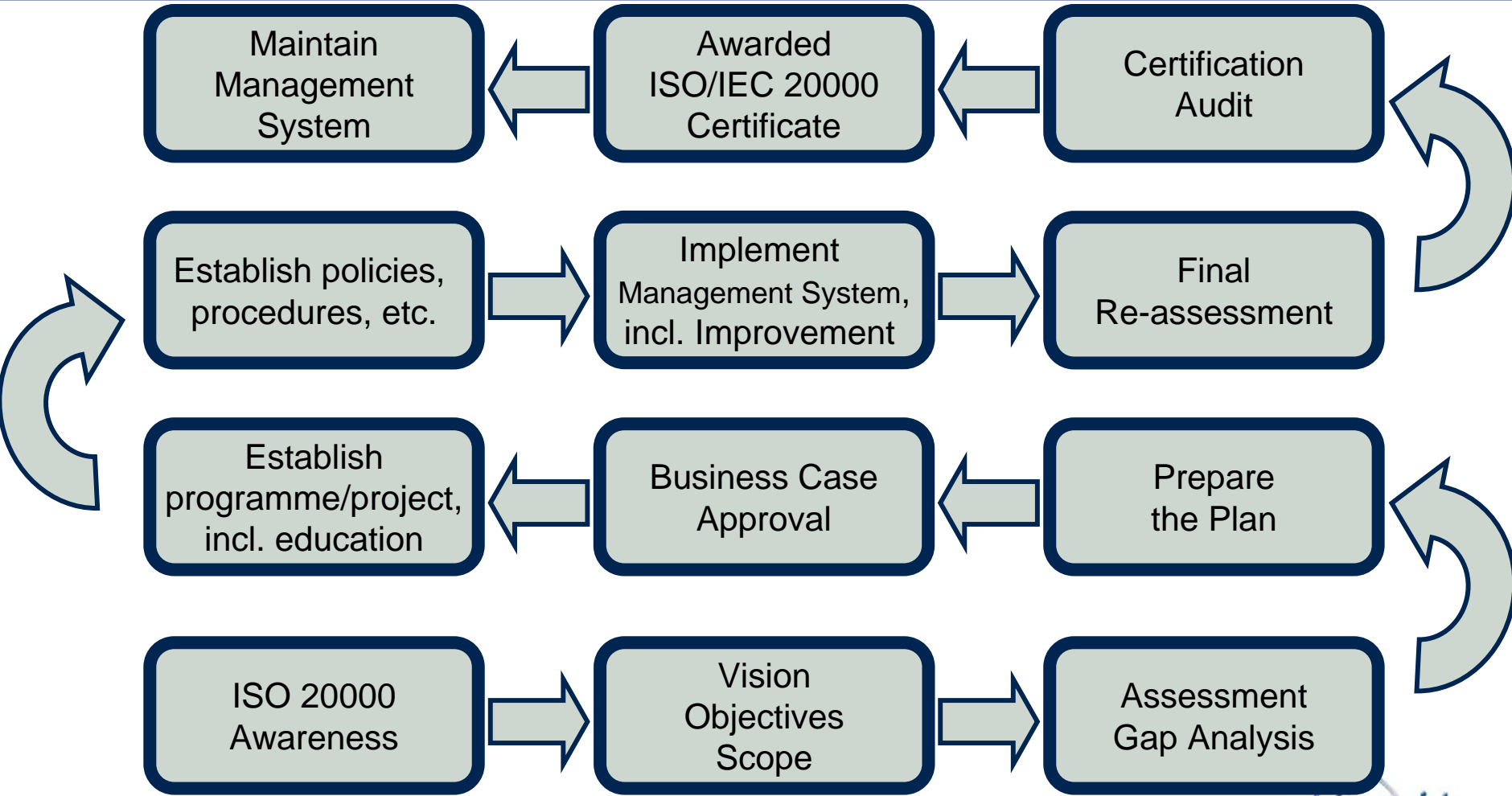
Are records absolutely necessary?

Would any variations/exclusions from the ISO 20000 requirements be accepted?

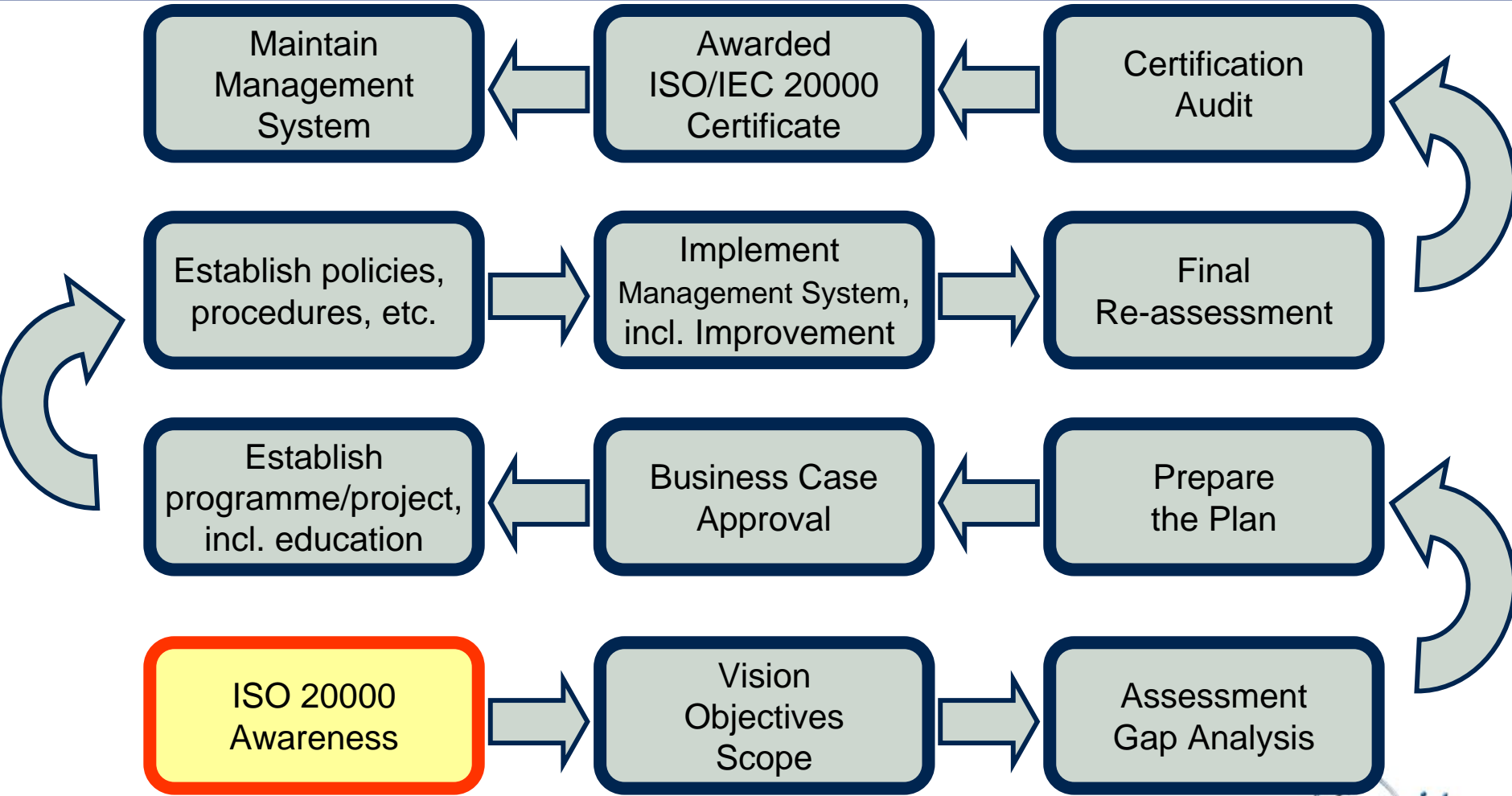
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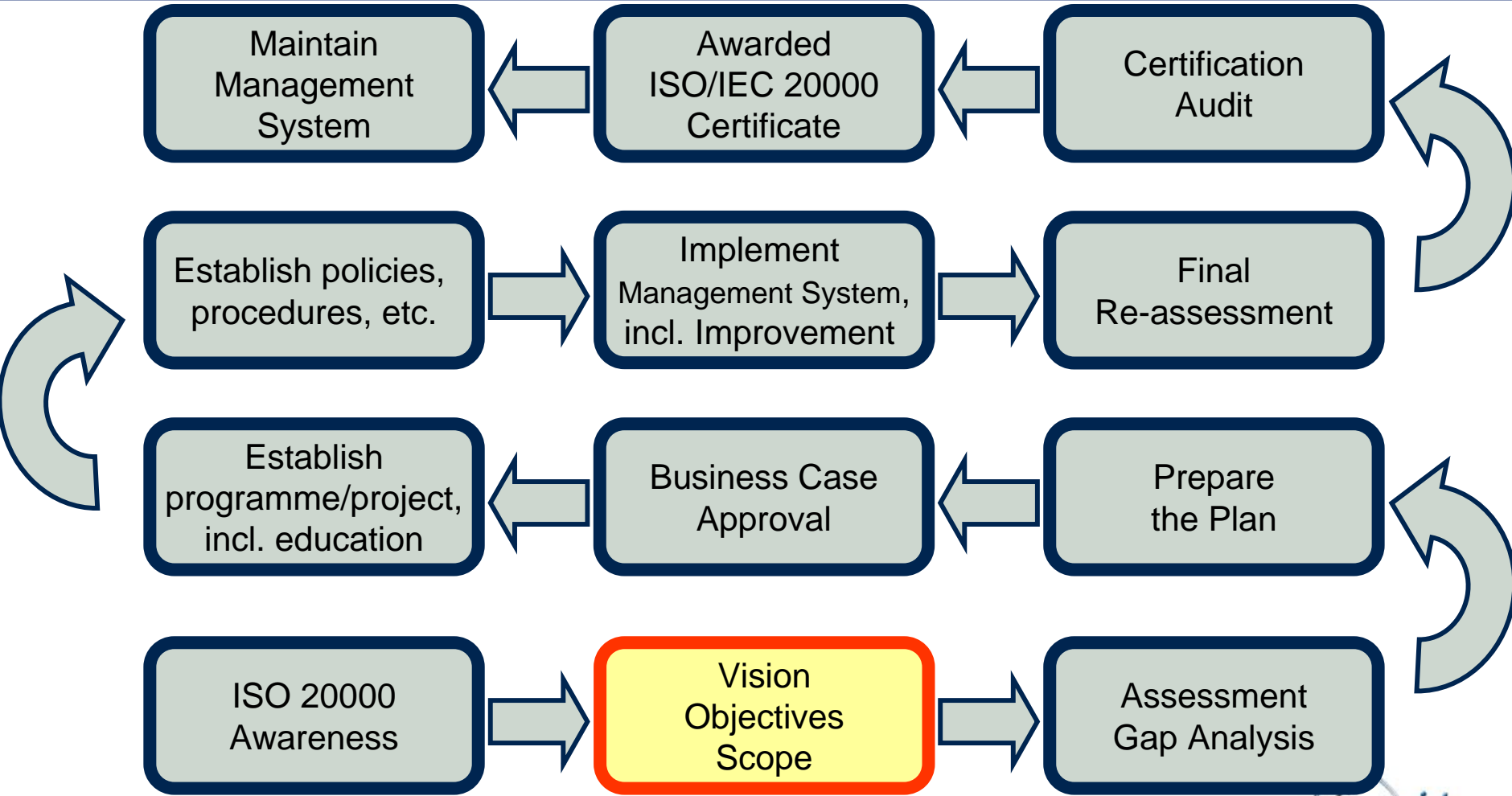


ISO20000 and ITIL Awareness

● For key decision makers:

- IT Director
 - Management team
 - Process owners
 - Quality management team (if you have one)
 - Project manager (if selected yet)
-
- NOT all staff, at this stage

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Define the Vision, Objectives and Scope

- The management team will develop:
 - Vision – what are we trying to achieve
 - Objectives – why we are doing this (measurable too)
 - Scope
 - Draft scope statement
 - Stakeholder map

- These can be produced in a 1-day workshop

Define Vision and Objectives - example

● Vision

- To provide a high quality IT service to our customers and end users

● Objectives

- To use ISO20000 as a means to improve all aspects of IT service delivery and support within the organisation

● Drivers

- Recent events and changes in business strategy showed up lack of plans, process and capability in some areas
- Requirement to improve service quality across many areas to meet SLA targets
- Difficulty in driving through and measuring the initiative to implement ITIL

● Benefits

- Improved quality of service
- Surety of outcome in all circumstances
- Reduced risk
- Easier to combat outsourcing

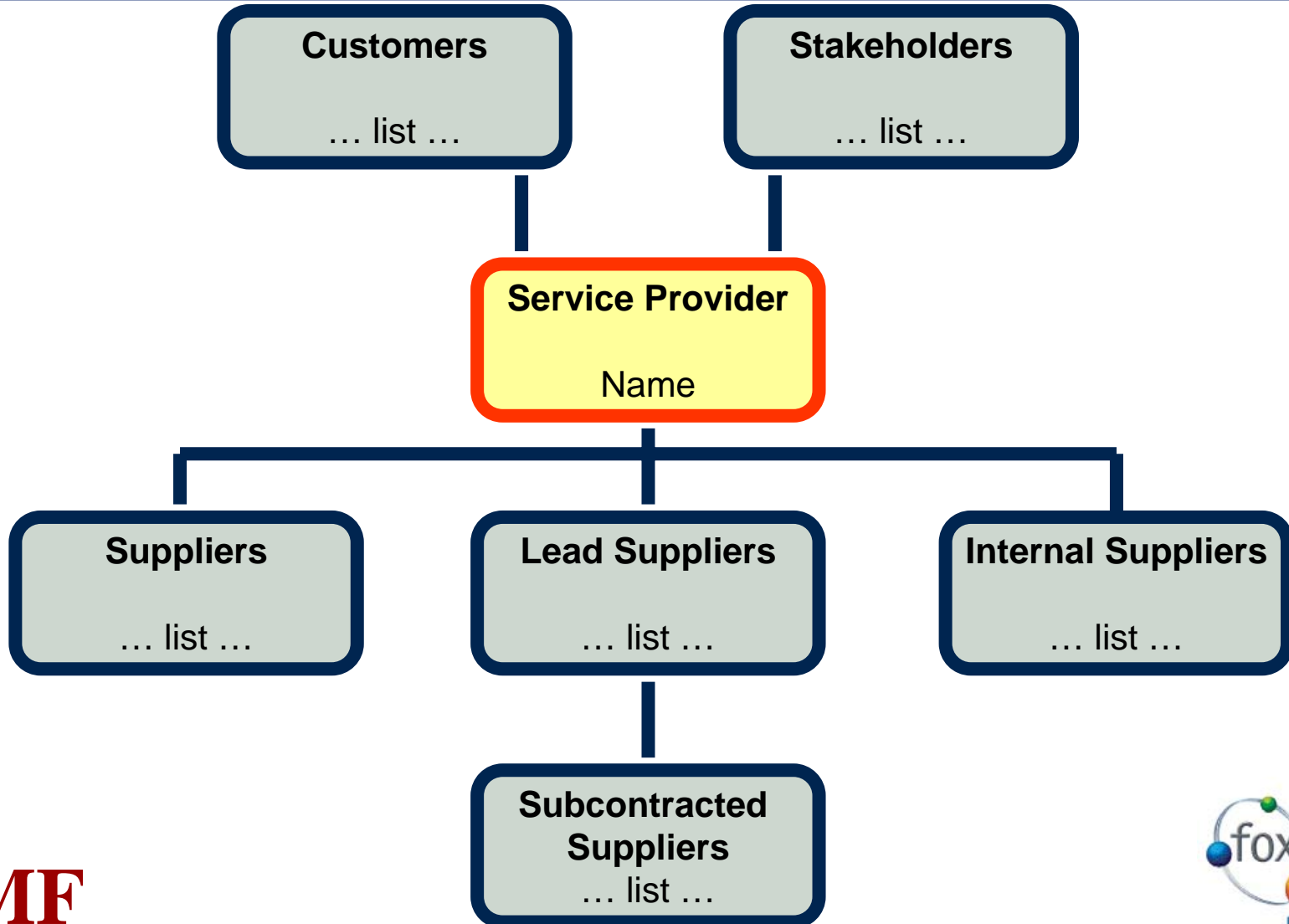
Define Scope - example

- The draft scope statement is:

“The IT application management service provided to support the end-user applications and the infrastructure management service provided to support the Unix systems and the mainframe in the head office, the production data centre site and the DR / development site. Support for internal IT services are out-of-scope.”

Note: This scoping statement has to be approved by the external auditor and will appear on the scoping certificate and the www.ISOIEC20000certification.com web site.

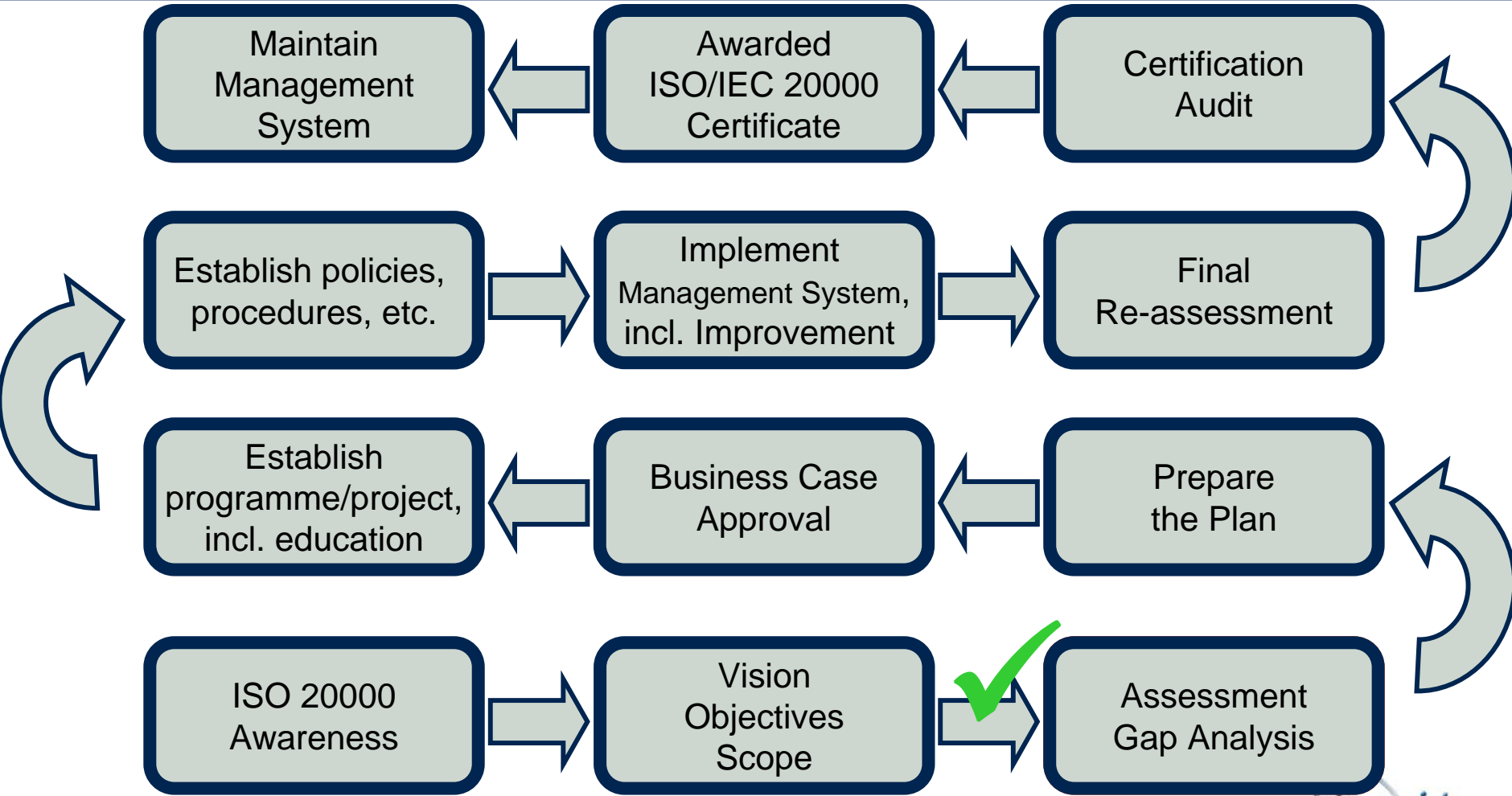
Define Scope - stakeholder map



Define the Vision, Objectives and Scope

- You have now:
 - Raised management awareness
 - Defined vision, objectives and scope
- Now you need to get approval to proceed to the next phase:
 - Assessment
 - Planning
 - Business Case, approval
- To do this, you will need:
 - £ money
 - Time
 - People
 - Internal
 - External
 - Commitment, support

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Initial Assessment, Gap Analysis

- A structured approach to identify all potential non-conformances
- Requires:
 - An assessment tool (manual or automated)
 - Expertise (detailed knowledge of the Standard and its interpretation)
 - Participation from key personnel
- Depending on size and complexity of the service provider:
 - may be as little as two days effort, or
 - may be as long as

Initial Assessment, Gap Analysis

- Facilitated Workshop(s)
- Structured questions, e.g.
 - “Is there a published policy on service improvement?”
 - “Have methods, procedures and techniques to monitor service capacity been identified?”
- Consensus responses
- Graphical and text results



Initial Assessment, Gap Analysis

(fictitious example)

Process	Hatfield	Woking	Reading	London
Availability & Continuity Management	85	90	88	100
Business Relationship Management	86	100	81	86
Budgeting & Accounting for IT Services	88	83	86	88
Capacity Management	90	92	71	80
Change Management	93	97	80	44
Configuration Management	68	92	75	68
Incident Management	86	65	70	63
Information Security Management	65	68	69	65
Management System	63	68	47	63
New and Changed Services	53	57	61	53
Planning and Implementing	56	61	63	42
Problem Management	51	63	55	51
Release Management	58	37	67	56
Risk Management	57	57	57	43
Service Level Management	74	50	16	45
Service Reporting	50	31	50	50
Supplier Management	28	50	24	32

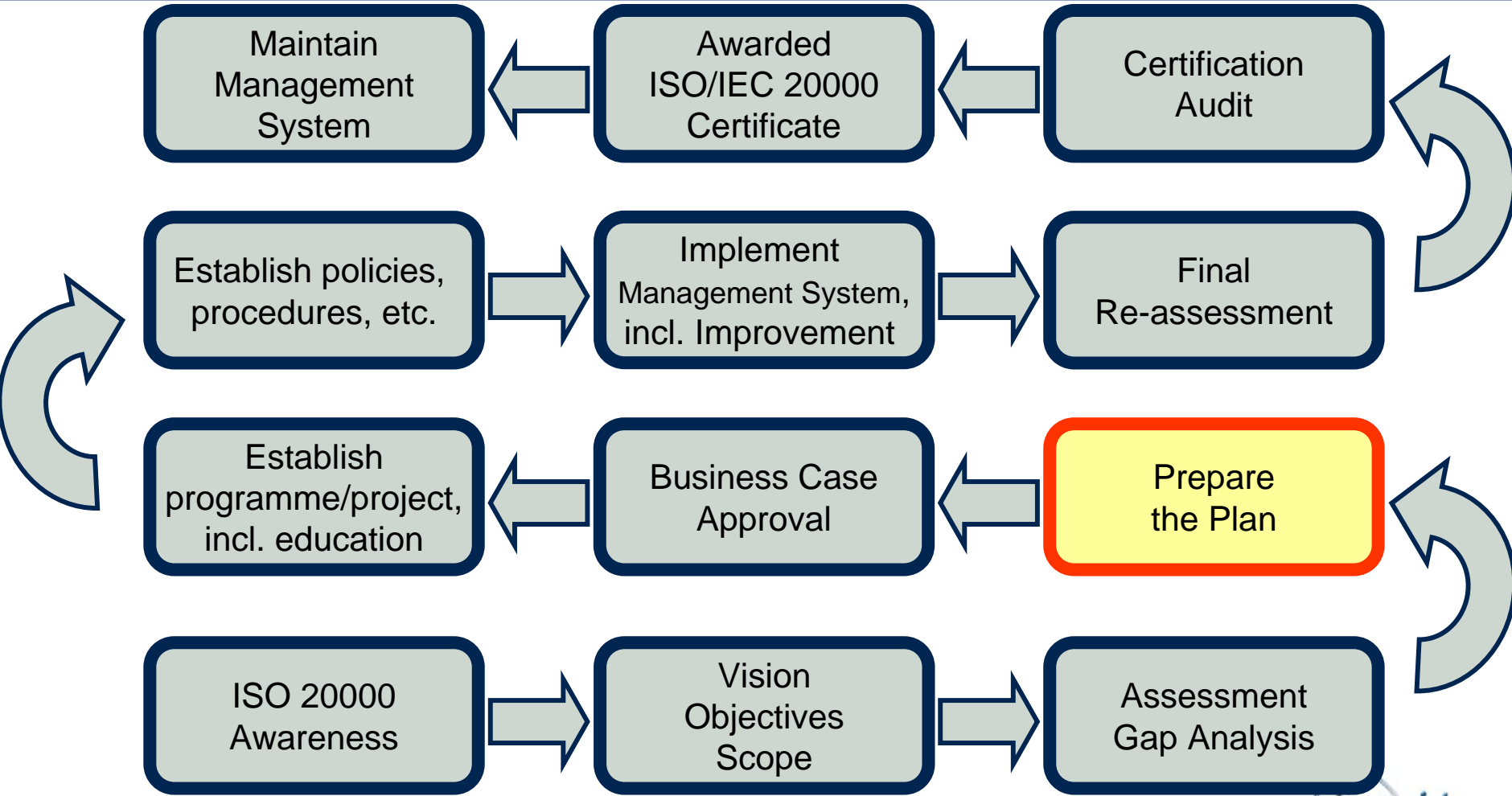
Legend	Score
Fully conformant	100
Mostly conformant	85 – 99
Non-conformant – moderate effort required	66 – 84
Non-conformant – major effort required	55 – 65
Significantly non-conformant – major concerns	0 – 54

Recommendations

- Management System (example)
 - Identify, record, assess and manage the **risks** related to the introduction and operation of the Service Management processes.
 - Ensure all Service Management roles, responsibilities and competencies are defined and maintained



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Project Planning (example)

Consider Implementation Options

Options – likelihood of success	Without Consultants	With Consultants
Do Nothing	No	n.a.
Gradual Improvement without Certification	Unlikely	Possible
Full ISO/IEC 20000	Unlikely	Certain

Without consultants

- <organisation> lacks experience in ISO20000 implementation
- No proven ISO20000 body-of-knowledge (IP)
- Insufficient resources available

With consultants

- Dedicated resources to drive the project
- Experience in many organisations
- Access to substantial intellectual property on ISO20000

Project Planning (example) (cont.)

● Assumptions

- Set a time limit (12 - 24 months)
- Establish a small core team
 - Consider internal and external members
- Involve process owners throughout
- Involve other staff to be as required
- Adopt a strategy of integrating this project with business-as-usual as quickly as possible
- Initially, implement sufficient for conformity
 - All activities tied directly to a recommendation in the Gap Analysis
 - Improve later

Project Planning (example) (cont.)

● Problem Management

- In order to conformant to ISO/IEC 20000, <service provider> will need to:

Activity	Deliverables	Project Resources	Other Resources
Develop guidelines on when to invoke the Problem Management process	Guidelines for problem management documented. Training for staff who will use the guidelines and procedures	5 days	½ day x 10 staff (these will be key staff, who will be involved in a short workshop to develop the guidelines and procedure, and then will be the staff to implement it)
Establish a process for monitoring, reviewing and reporting on the effectiveness of problem resolutions	Procedure, guidelines and sample report	5 days	1 day x 5 staff
Define and communicate escalation procedures for problems	Escalation procedures, communicated to relevant staff	1 day	1 day (process owner)

Project Planning (example) (cont.)

● Sequence of activities

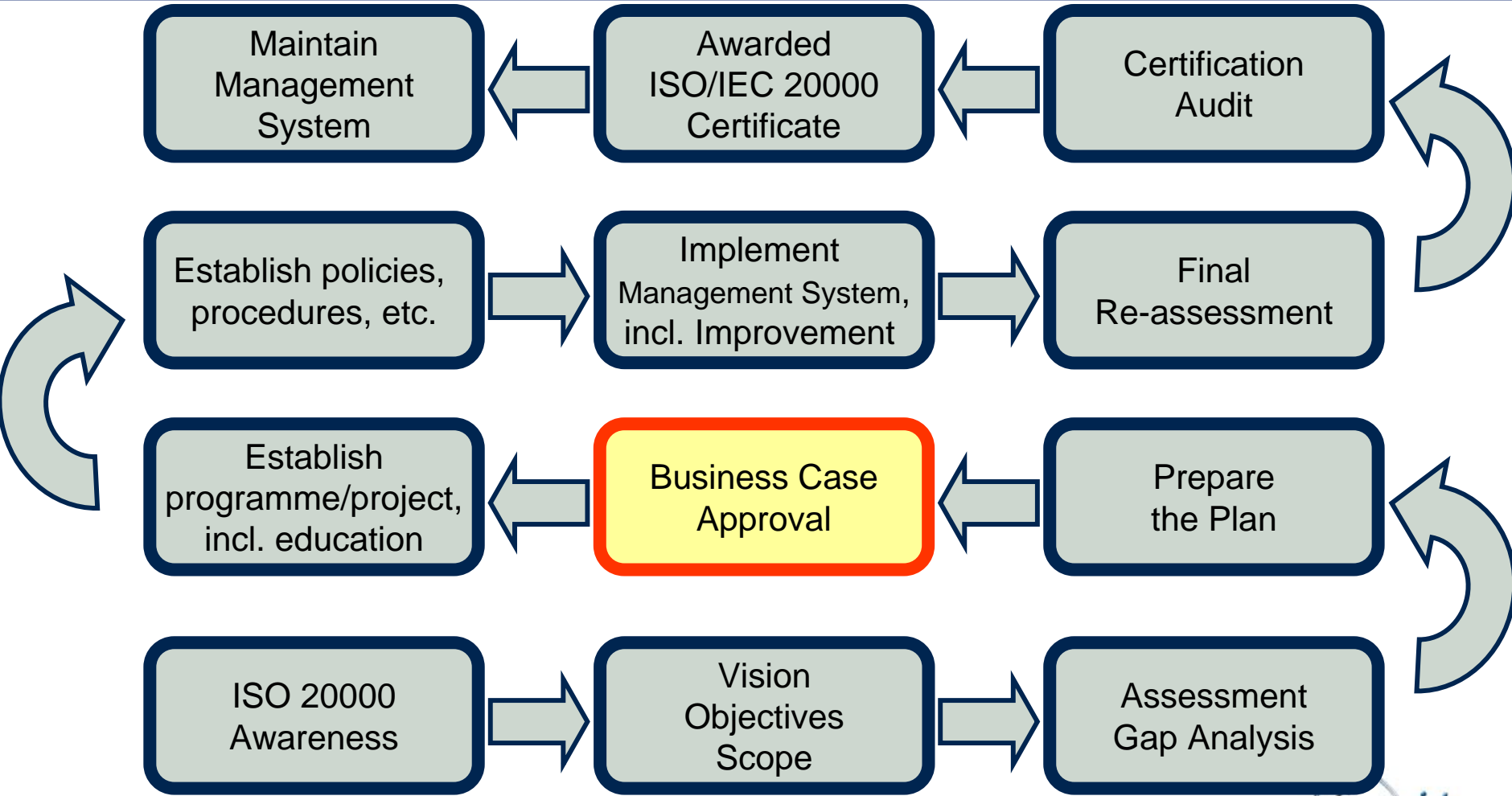
- Fairly flexible (there were few dependencies)
- Management System first
 - Policies
 - Roles and responsibilities
 - Management review
- Planning and Implementing Service Management next
 - Integrated planning
 - Service management implementation (ITIL, ISO20000 and other initiatives)
 - Monitoring, measuring and assessing improvement (especially internal auditing)
 - Continuous improvement

Project Planning (example) (cont.)

● Sequence of activities (cont.)

- Next, implement the more difficult, longer-term processes (from results of assessment), e.g.
 - Supplier management
 - Service reporting
 - Service level management
- Finally, the low-risk, low-effort processes
 - Availability and service continuity management
 - Budgeting and accounting
 - Business relationship management
- ... and the other processes in between

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Business Case – Table of Contents - example

- Overview of the Effort
 - Internal
 - External
- Description of the Costs
 - Project Costs
 - On-going Operational Costs
 - Certification costs
 - Summary of costs
- Description of the Drivers and Benefits
 - Regulatory and contractual requirements
 - Financial Benefits
 - Improved Service Benefits
 - Customer Satisfaction Benefits
 - Risk Reduction Benefits
 - Reduced Non-compliance
 - Staff benefits
- Methods of Tracking the Achievement of the Benefits
 - Financial Benefits
 - Benefits of Improved Service
 - Customer Satisfaction Benefits
 - Risk Reduction Benefits
 - Reduced Non-compliance Benefits
 - Staff Benefits
- Project Success Criteria
 - Six measurable criteria listed
- Recommendations
 - Options
 - Recommendation and Justification

Business Case – Benefits (examples)

Regulatory

- <regulation> requires implementation of ITIL-based service management
 - ISO20000 certification will provide independent evidence of compliance

Financial

- Current financial management does not identify cost of service provision
 - Several examples given of potential savings areas (based on historical events)

Improved Service Benefits

- Examples included:
 - Fewer failed changes
 - Faster changes
 - Reduced down-time
 - Meeting service levels

Customer Satisfaction Benefits

- Currently some high levels of customer dissatisfaction requiring:
 - Fewer complaints
 - More support for initiatives
 - Smoother operations
 - Less time spent “repairing damage”

Risk Reduction Benefits

- Lessons from major incident / disaster and other events highlighted the need for a more rigorous approach to risk management

Reduced Non-compliance Benefits

- Benefits of compliance
 - Smoother, more efficient operations
 - Staff and managers more content
 - Fewer errors and rework

Staff Benefits

- Enhanced skills

Establish the Project / Programme

- Select project management method

- Prince 2 / PMBoK / other

- Establish Project Board

“Through leadership and actions, top/executive management shall provide evidence of its commitment to developing, implementing and improving its service management capability within the context of the organization’s business and customers’ requirements.”

- Appoint Project Manager

- Allocate resources – funds and people

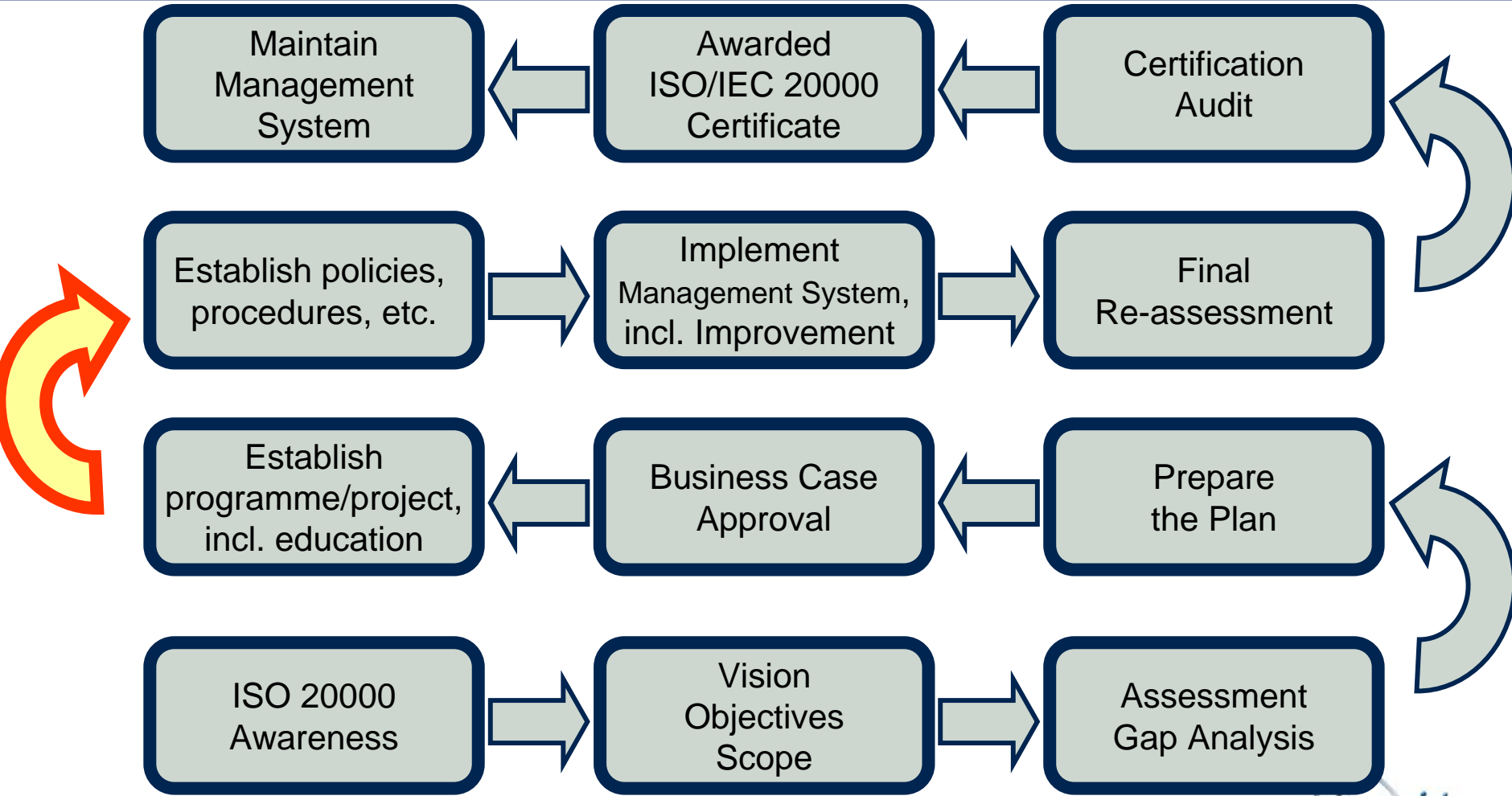
- Initiate communication, education and awareness campaign

- Determine phasing, sub-projects

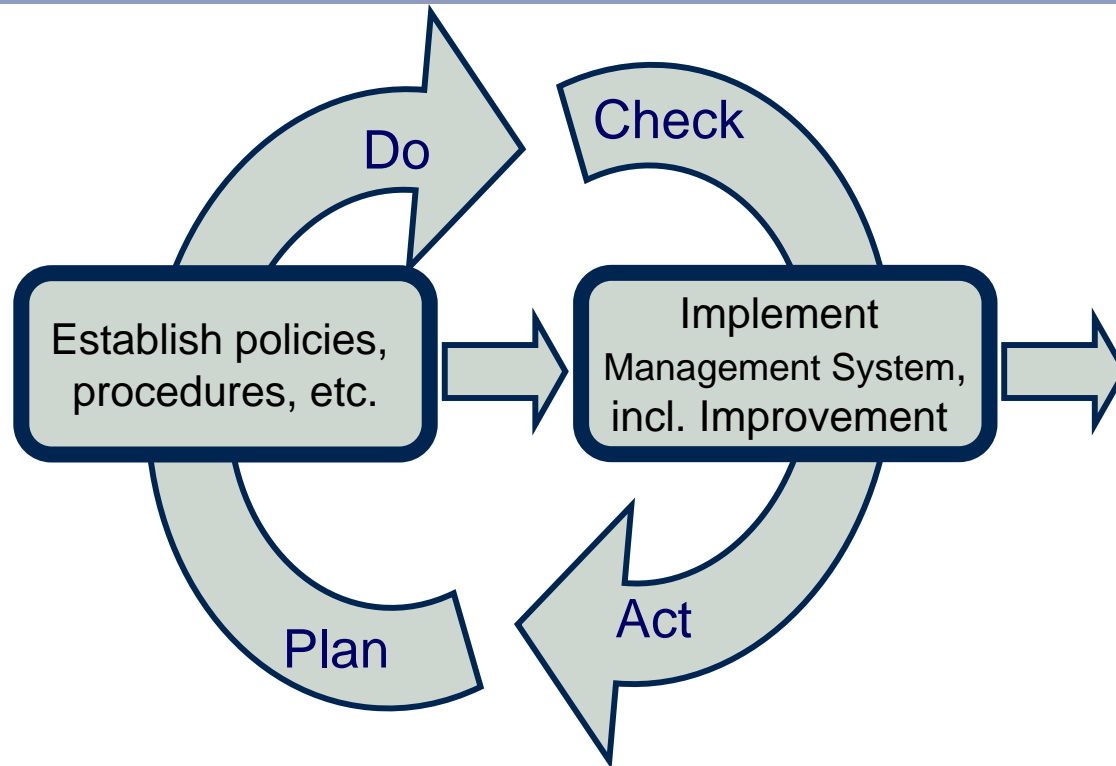
- Endorse or amend the project plan

- Report progress

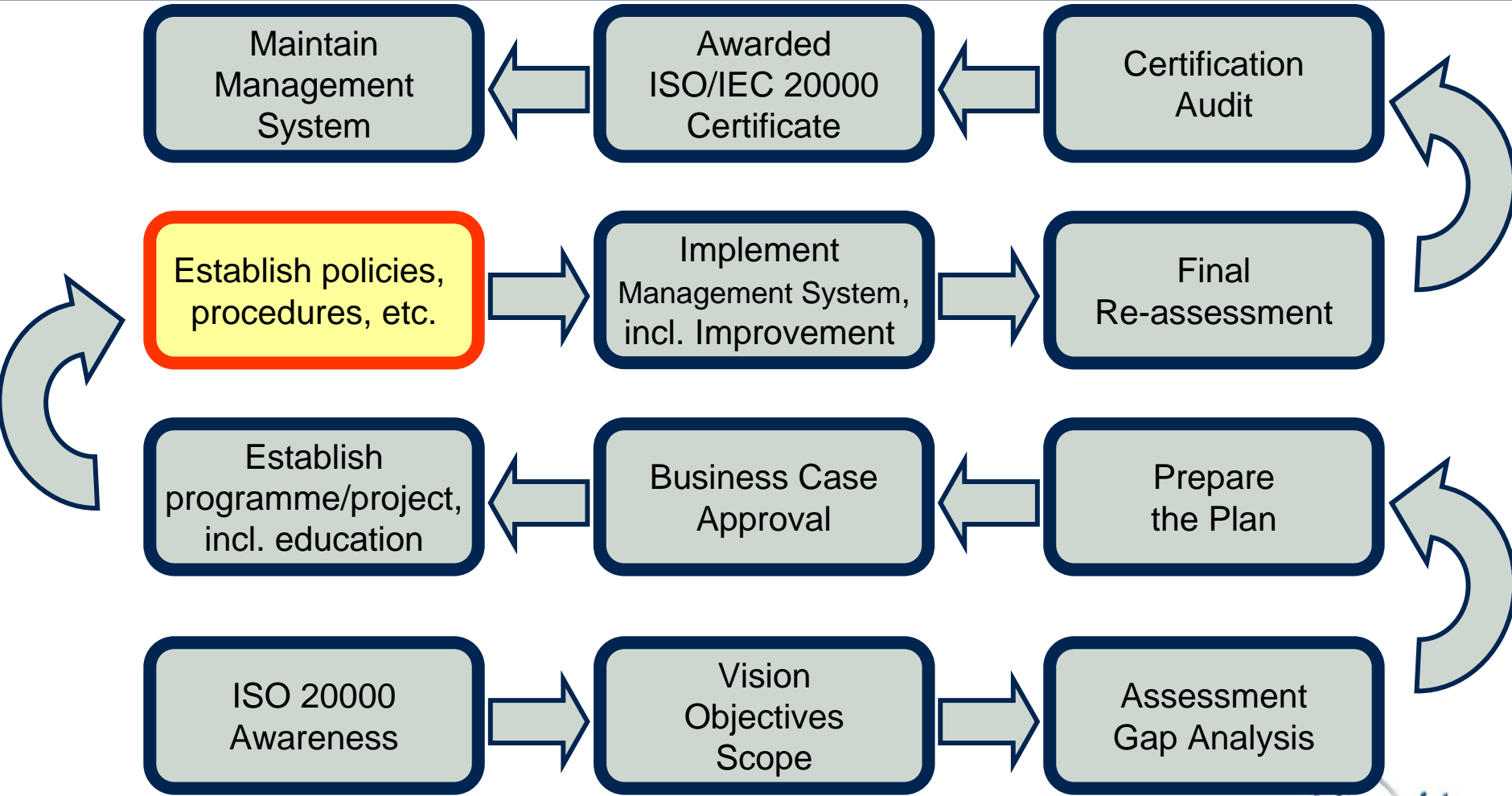
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Establish Policies and Procedures

- Policies (as required)
- Procedures for all ISO20000 processes
- Establish supporting processes:
 - Risk Management
 - Document Management
- Upgrade non-ISO20000 processes to support P&I N&CS
 - Project Management
 - Systems Development
- Plan for operational requirements, as well as certification
- Evidence will be required:
 - Documents – evidence of intent
 - Records – evidence of activity
- Remember that you are already doing all of the processes
 - Collect records of activity immediately
 - Identify improvements on an on-going basis
 - This will help in the audit

Establish Policies and Procedures (cont.)

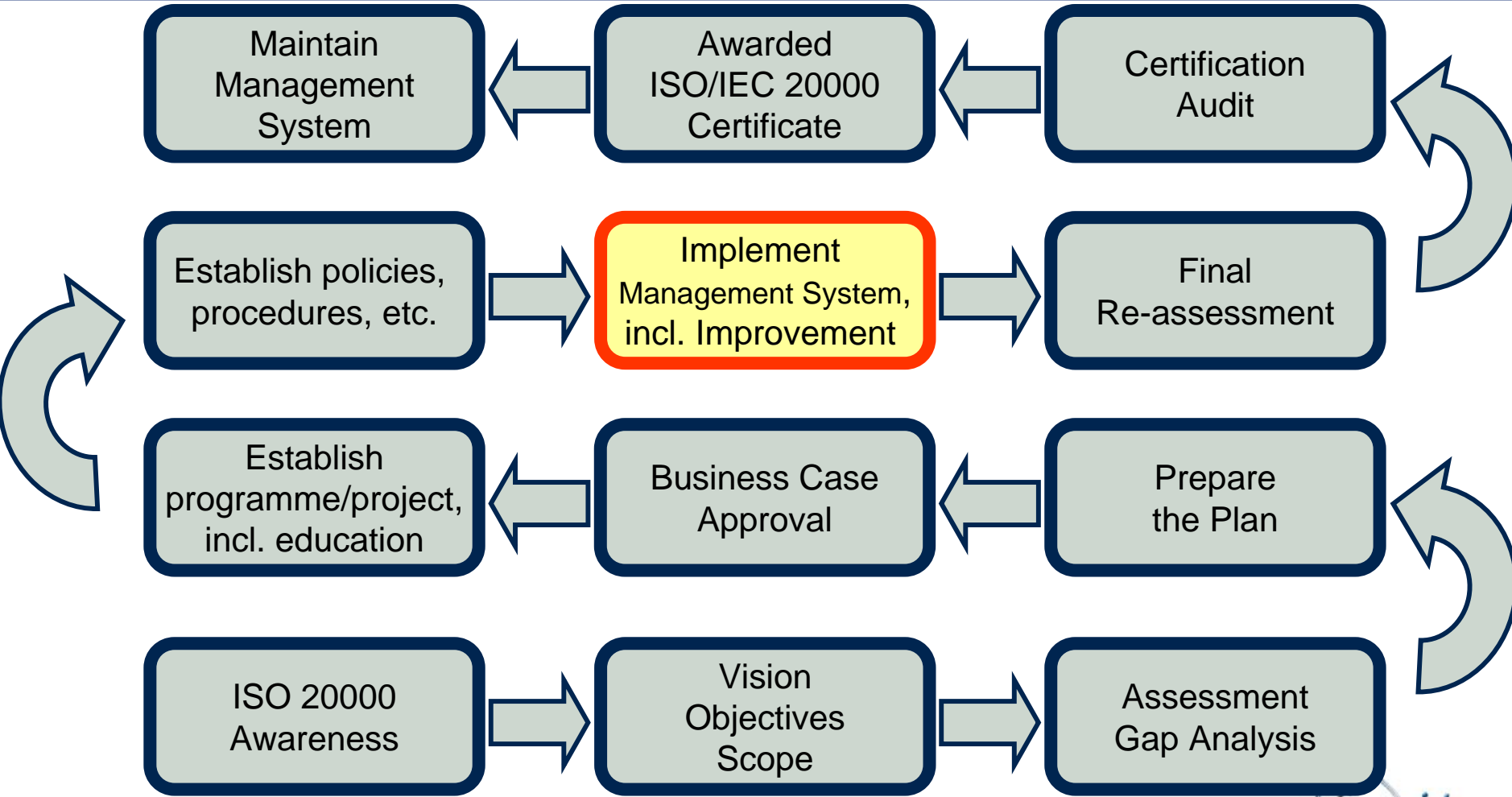
● Time estimates

- Based on “time fencing”:
 - “to put a time boundary around the activity”
 - Undertake sufficient activity to make (and show) an improvement and meet conformance
 - Record any further improvement required in the service improvement plan
- e.g. “There shall be a policy on service improvement”
 - Spend one day writing it, and adopt it as version 1
 - This will meet conformity requirements
 - If it is not yet excellent, record a task in the service improvement plan to be improved later
 - Move onto the next activity

Establish Policies and Procedures (cont.)

- People
 - Training requirements
 - Changed roles and responsibilities
- Process
 - Policies, Procedures
 - Interfaces with other processes
- Products (Technology)
 - Supporting tools
- Partners
 - Demonstrate management control over lead suppliers

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Implement

- Problems to be addressed
(include estimates or contingencies in your plan)
 - Lack of senior management commitment and involvement
 - Lack of staff commitment and involvement
 - Inadequate strategy and plans
 - Insufficient resources, time or skills
 - Poor project management
 - Pre-occupation with mechanics rather than end-product
 - Certification vs process improvement
 - Organisational culture
 - Attitude to audits (internal and external)
 - Not sold to the rest of the organisation
 - Lack of a champion
 - Isolation of the champion

Implement Management System

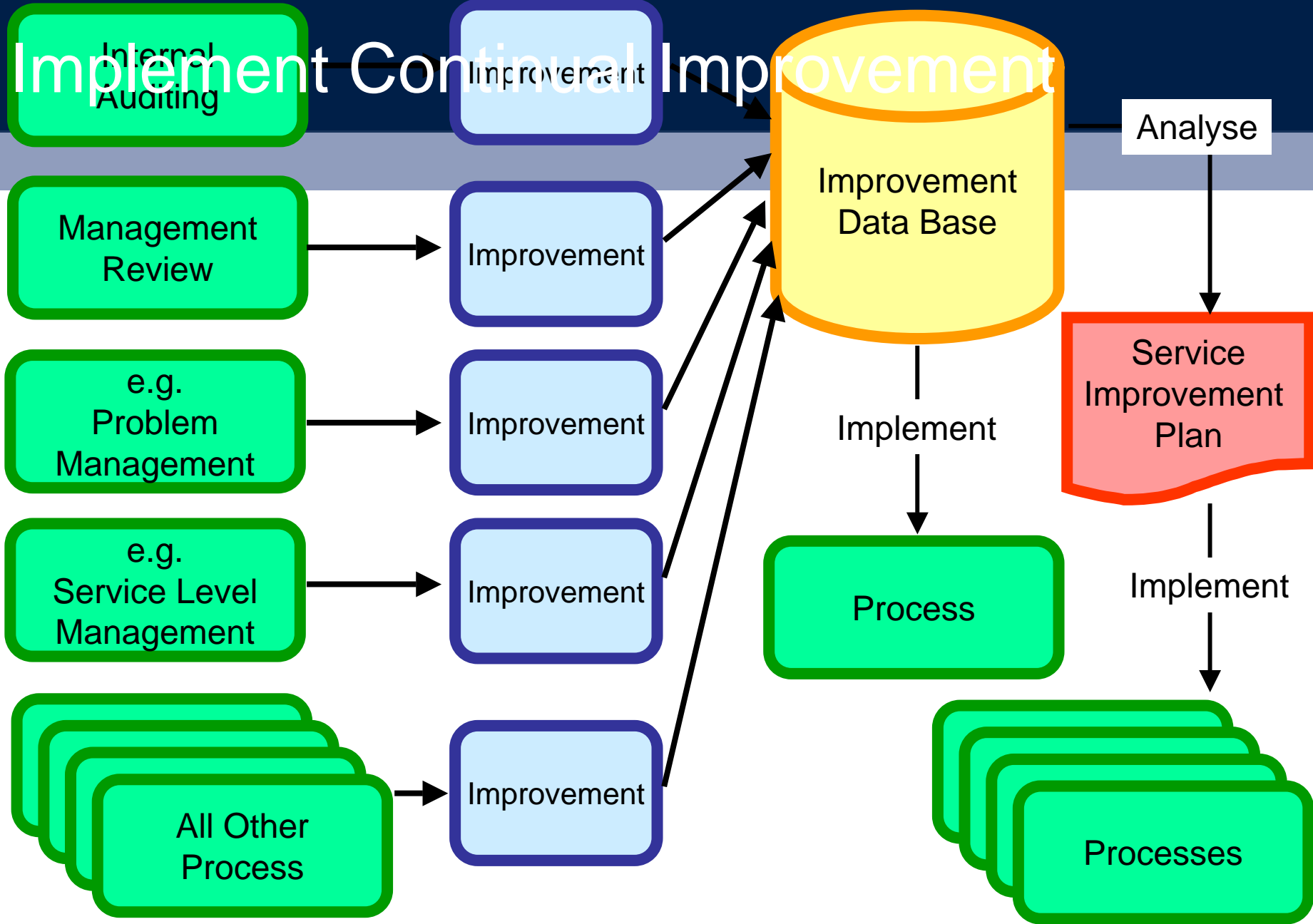
- Management responsibility, including
 - Management review
 - Planned, regular, part of business-as-usual
 - Risk management
 - Use the enterprise risk management approach (if one exists)
 - Internal auditing
- Document management
 - Use the enterprise document management system (if one exists)
 - Provide evidence for the audit
- Competence, awareness and training
 - Can be integrated with HR processes

Implement Continual Improvement

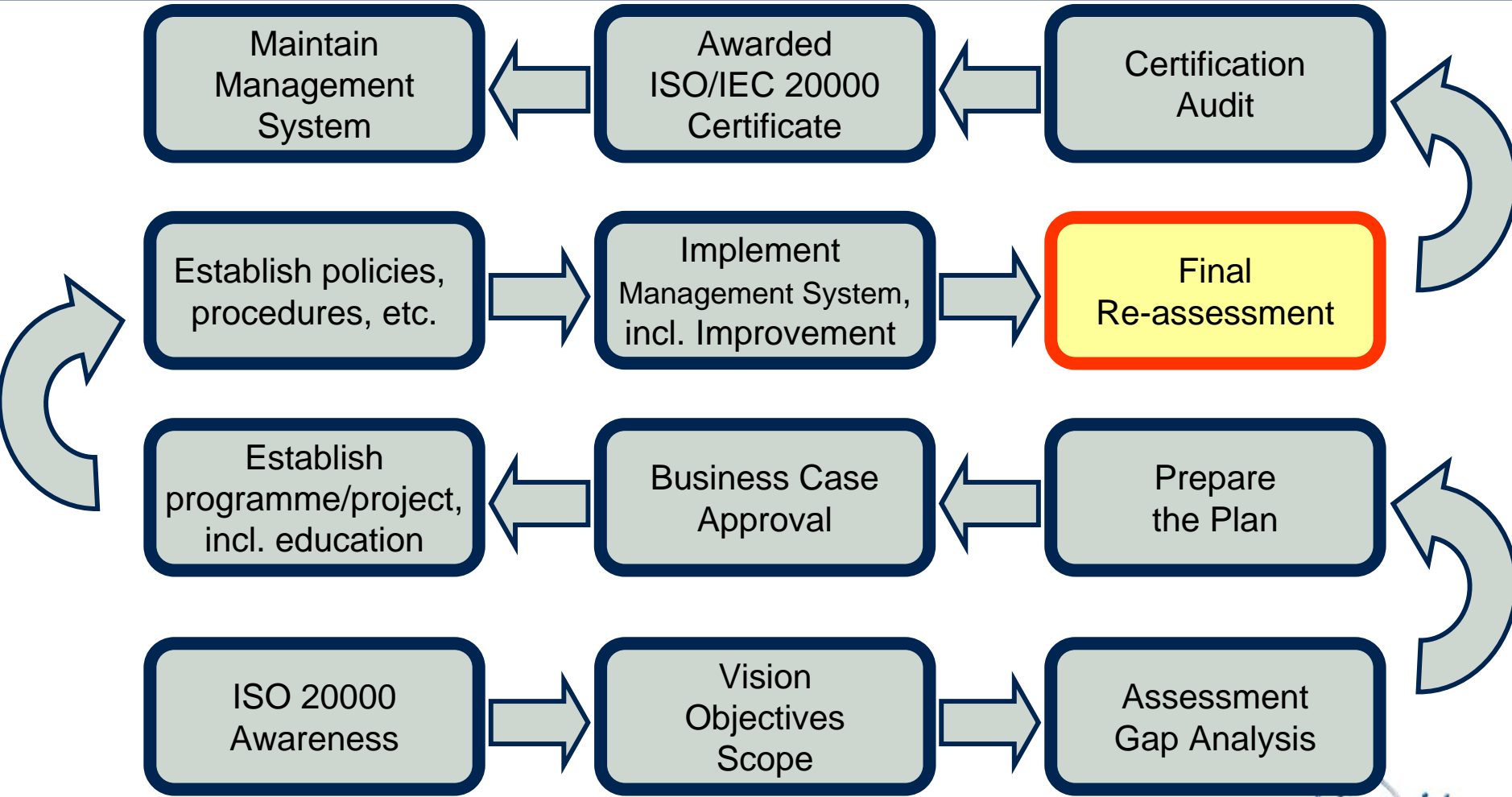
● ISO20000 says:

- All suggested service improvements **SHALL** be assessed, recorded, prioritized and authorized.
- A plan **SHALL** be used to control the activity.
- Actions for improvement identified during this process **SHALL** be recorded and provide input into a plan for improving the service. (SLM, Security, BRM, Supplier, Problem)
- Analysis (of the success and failure of releases) ... **SHALL** provide input to a plan for improving the service.
- The results of the analysis **SHOULD** provide input to a plan for improving the service (P&ISM)
- Test failures **SHOULD** be documented and reviewed to input to a plan for improving the service (Continuity).
- The process for a major incident **SHOULD** include a review which will inform a plan for improving the service.

Implement Continual Improvement



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Final Re-assessment

- The activity to ensure “no surprises”
- Complete re-assessment, either
 - Self-assessment
(use your now-proficient internal audit team)
 - Your consultant
 - The external auditor
- NOT this ...

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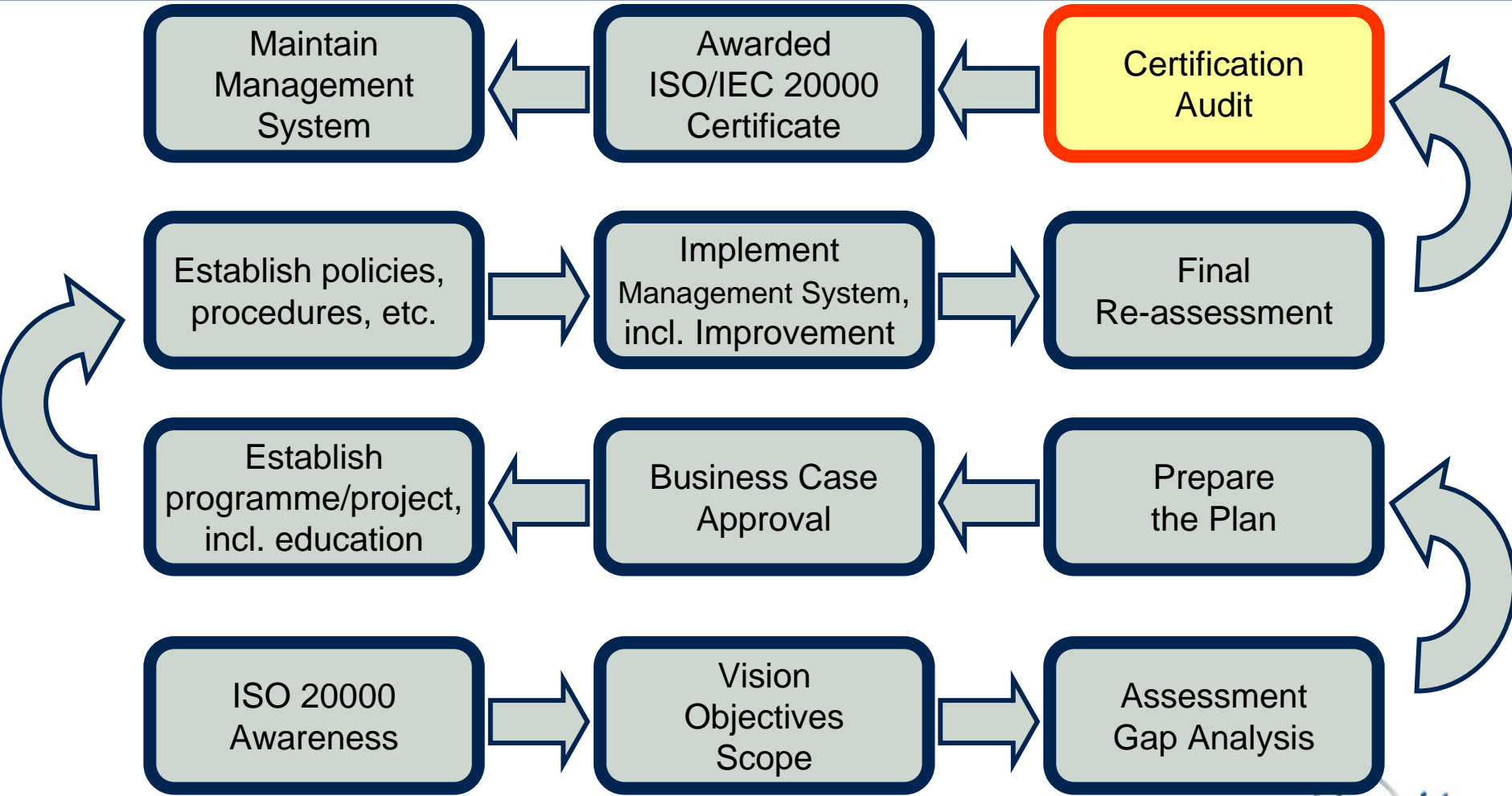
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Certification Audit

- Select a registered audit company (well in advance)
- Audit time will depend on scope of certificate, size of organisation and number of locations to be audited
- Will be planned with you by the auditor, well in advance
- The audit **WILL NOT** cover every clause of every process
 - But you don't know what the auditors will investigate
- They will look for
 - Management review
 - Internal audit

Certification Audit - costs (example)

Assumptions

- No pre-audit by external auditor
- Twice yearly surveillance audits
- Three year life of certificate
- Similar rate to ISO9001 audit

£10,500 over three years

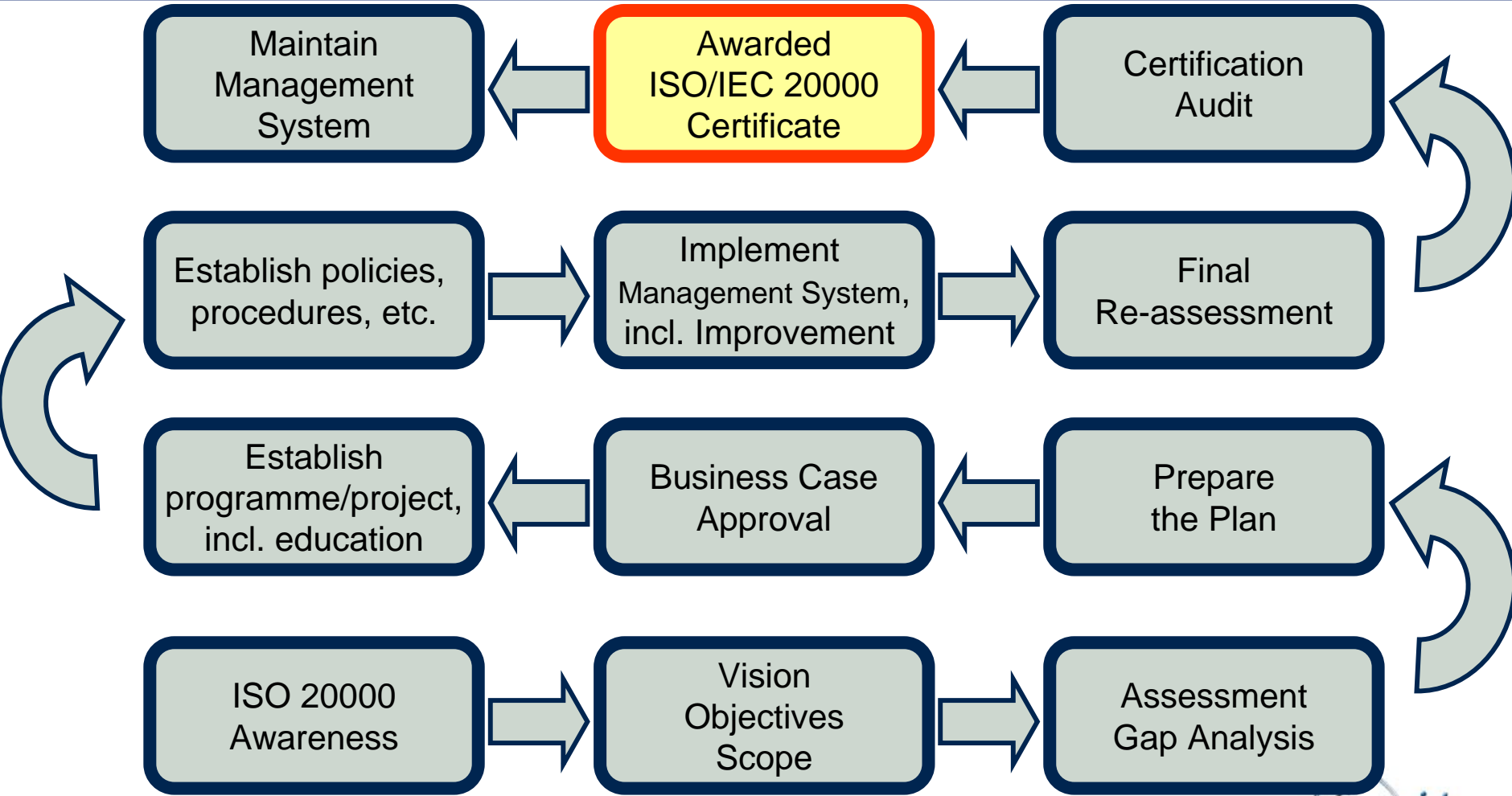
Savings possible with integrated ISO20000 / ISO9001 / ISO27001 audits

Audit Plan	Year 0	Year 1	Year 2	Year 3
Pre-audit	Optional			
Certification Audit		Full		
1st Half Surveillance Audit			Partial	Partial
2nd Half Surveillance Audit		Partial	Partial	
Re-certification Audit				Full

Certification Audit (cont.)

- Certificates are valid for three years
- Annual surveillance audits are required
- Internal audits are required by Part 1 and the certification scheme
- If a major non-conformance is found during the initial audit, the auditor will not issue the certificate
- If a major non-conformance is found during a surveillance audit, the auditor will require that the non-conformance be rectified
- If a minor non-conformance is found, the auditor may require a follow-up audit

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Achieve ISO/IEC 20000 Certification

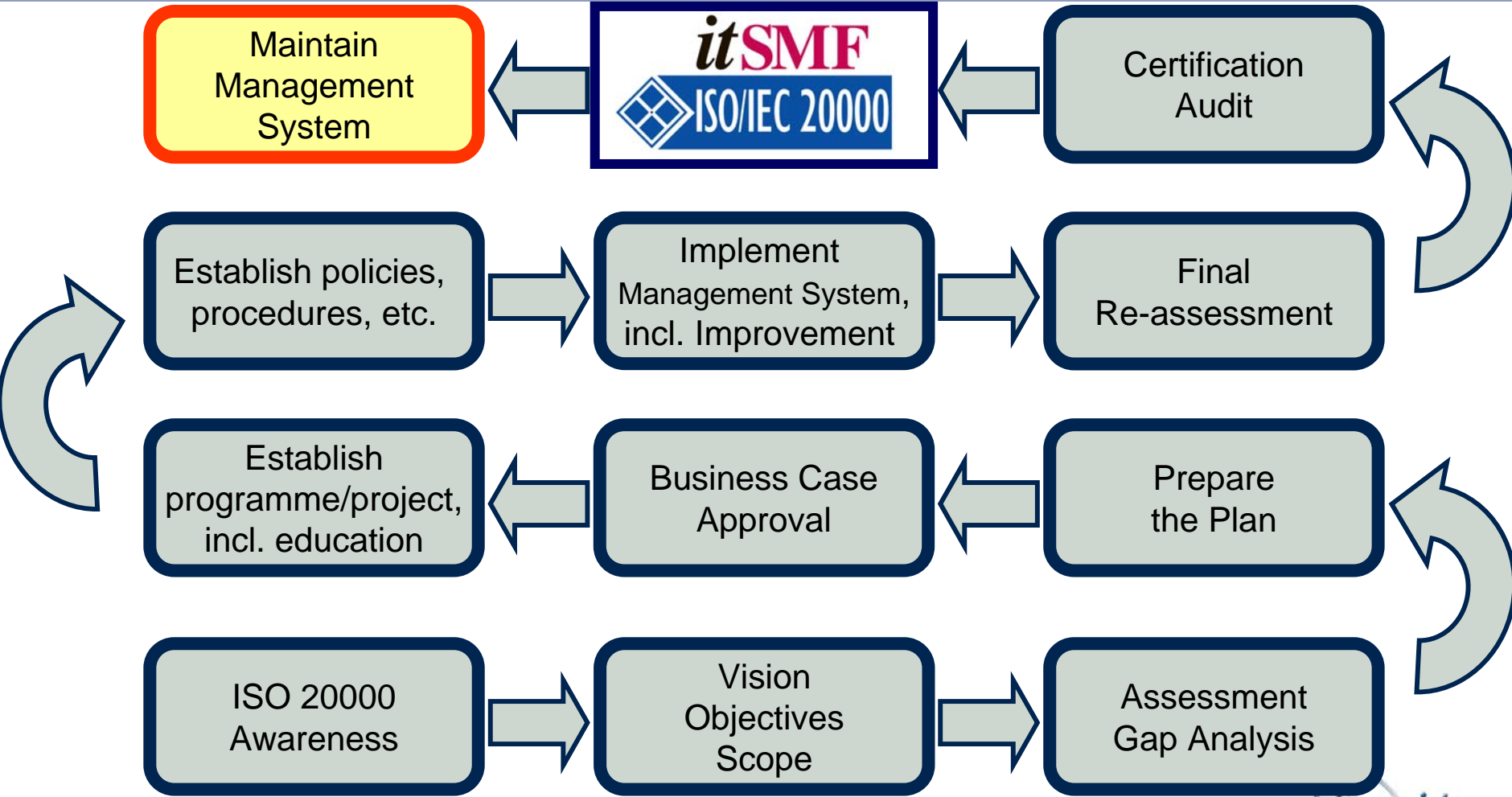
- Plan adequate funds and time for the celebrations



- Display the logo



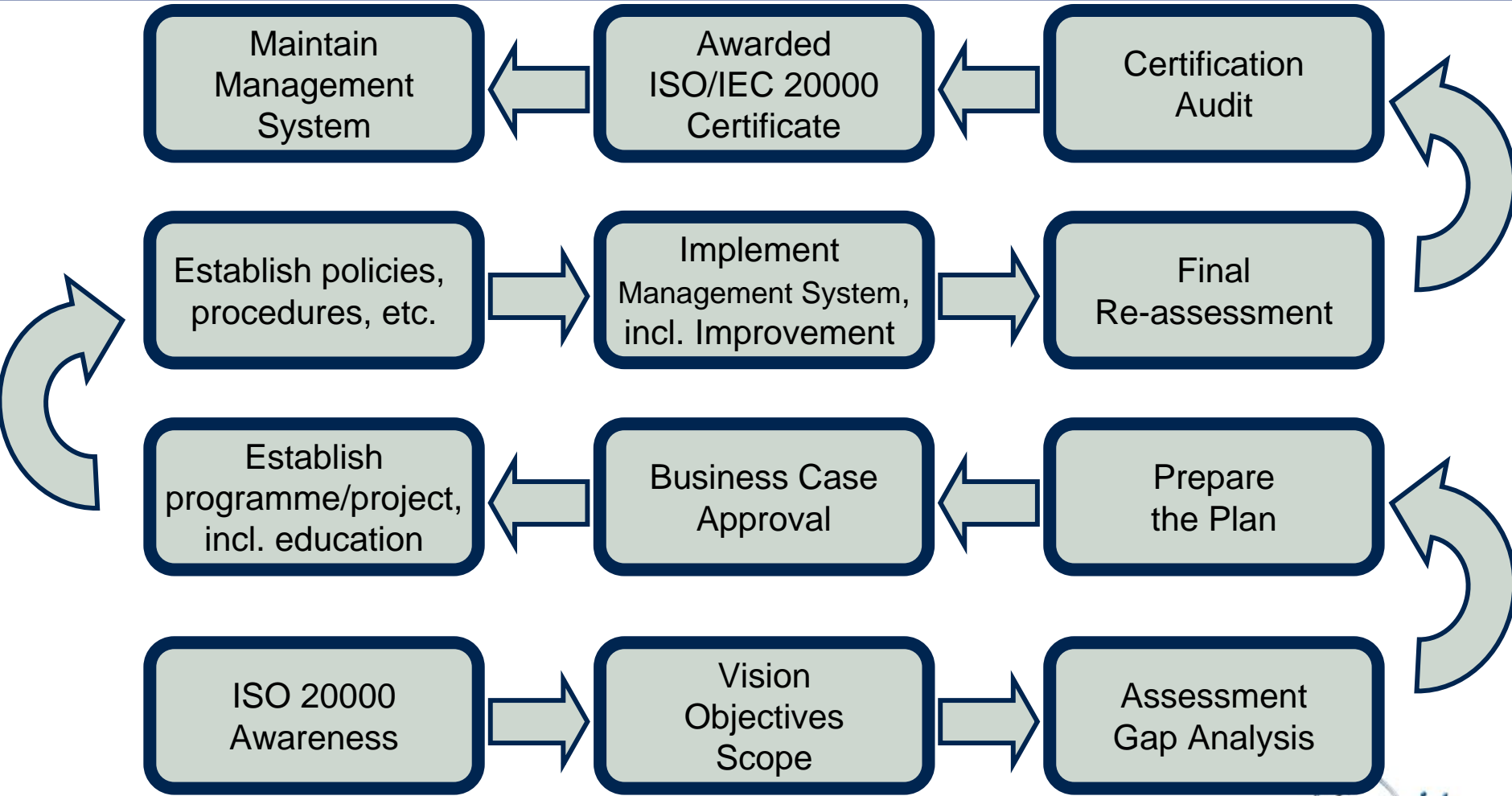
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Maintain the management system

- Execute all processes
- Keep evidence (records and documents)
- Hold management reviews, at planned intervals
- Conduct internal audits
- Review and maintain all processes
 - Policies, plans, procedures ...
- Ensure continual improvement
- Have planned surveillance audits

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In Summary

- *“Does anyone have a project plan for gaining ISO20000 accreditation they may be able to share?”*
- There isn't a standard plan, but you should adopt a standard, phased approach
 - Initialise
 - Assess, plan, justify
 - Implement
 - Operate your service management system
 - Certify

Questions?



Thank you for attending the

*it*SMF ISO/IEC 20000 Special Interest Group

For further information on Fox IT, please visit
www.foxit.net

For any queries following on from this course, visit:
www.askthefox.info/atf-classroom

