ISO/IEC 20001-1:2018
Transition Policy

Date 18th September 2019
INTRODUCTION

ISO/IEC 20000-1:2018 was released on 15th September 2018 and is replacing the existing Service Management System ISO/IEC 20000-1:2011.

Certification Europe is accredited to certify organizations to ISO/IEC 20000-1:2011 and intends to be in a position to offer accredited ISO/IEC 20000-1:2018 certifications by 31st March 2020. As per the requirements of IAF Resolution 2018-14, Certification Europe will cease conducting initial and recertification audits to ISO 20000-1:2011 18 months after the release of ISO 20000-1:2018, i.e. 31st March 2020.

Existing clients who have ISO 20000-1:2011 will be required to migrate their Service Management System on or before 29th September 2021. All transition audits must therefore be completed by 29th September 2021.

The following table summarises the certification that will be offered by Certification Europe during the transition period:

<table>
<thead>
<tr>
<th>Dates</th>
<th>Standard Offered</th>
</tr>
</thead>
<tbody>
<tr>
<td>Until 31st March 2020</td>
<td>ISO/IEC 20000:2011 only</td>
</tr>
<tr>
<td>From 31st March 2020</td>
<td>ISO/IEC 20000:2018 only</td>
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Existing ISO/IEC 20000-1:2011 certifications will no longer be valid after 29th of September 2021 and any ISO/IEC 20001:2011 certificates issued by Certification Europe during this period will expire on the 29th of September 2021.

Once clients successfully migrate their existing ISO/IEC 20000-1 system the expiry date of their ISO/IEC 20000-1:2018 certificate will be in-line with their current three-year certification, so no certification time will be lost.

Certification Europe has created this policy document to clarify the certification process for current and future clients.
While ISO/IEC 20000-1:2018 is similar in parts to ISO/IEC 20000-1:2011 there are some changes and additional requirements that clients will have to meet before their Service Management System can be deemed to be compliant with the ISO/IEC 20000-1:2018 standard.

The main changes are identified below.

**GENERAL**

The standard has been restructured into the high-level structure used for all management system standards making it easier for organizations to manage an integrated management system that complies with the requirements of more than one standard such as ISO 9001 (Quality Management) or ISO 27001 (Information Security Management).

Service provider has been replaced by organization

No clauses have been deleted but some requirements have been moved to clauses with different titles.

Clauses have been revised or added to take into account the growing trends in service management including the use of commoditized services and the management of multiple service providers.

The number of required documents has been reduced.

**CONTEXT:**

4.1 Understanding the organization and its context

*This is a new requirement described below.*

4.2 Understanding the needs and expectations of interested parties

*This is a new requirement. In preparing to establish the service management system (SMS) the standard requires that the organization has considered and understand the positive and negative factors that could affect the organization and the interested parties (stakeholders), their needs and expectations that may be relevant to the service management system and the services.*

4.3 Determining the scope of the service management system

*This requirement has been changed to include consideration of the new clauses outlined above.*

*The scope of the SMS should be documented.*
4.4 Service management system

This requirement which was in Management Commitment in the previous version of the standard has been updated and now specifies the requirement to continually improve the SMS, including the processes and their interactions.

LEADERSHIP

5 Leadership

Clause 5 requires demonstration of leadership and commitment rather than evidence of management commitment as required in the previous version of the standard.

Requirements in this clause have been revised including:

5.1 d) ensuring what constitutes value for the organization and its customers is determined.

PLANNING

6.1 Actions to address risks and opportunities

The requirement to identify and address risks and opportunities is a significant change. The new clauses require the knowledge gained regarding the context of the organization and the needs / expectations of interested parties to be considered when developing the management system for the organization.

6.2 Service management objectives and planning to achieve them

Detailed requirements are specified.

6.3 Plan the service management system

Requirements for the Service Management Plan have been updated and include a new requirement:

a) list of services

RESOURCES

The requirements relating to resources, competence, awareness and communication are more specific than previously and include:

7.2 d) Competence

The organization needs to retain appropriate documented information as evidence of competence.
7.3 e) Awareness

The implications of not conforming with the SMS requirements.

7.4 Communication

The clause regarding communications makes more specific requirements for the organization to define its communication requirements.

7.5 Documentation

The standard no longer refers to records and used the term documented information.

Additional requirements related to the management of documented information have been added.

7.6 Knowledge

This is a new requirement and requires that the organization shall determine and maintain the knowledge necessary to support the operations of the SMS and the services.

OPERATION

8.1 Operational Planning and Control

This clause requires that:

- organizations to establish performance criteria for the processes, control processes in accordance with the established performance criteria and keep documented information to demonstrate that the processes have been carried out as planned.

- control changes to the SMS and review the consequences of unintended changes, taking action to mitigate any adverse effects.

- ensure outsourced processes are controlled.

8.2 Service portfolio

The concept of service portfolio management has been introduced and requires the organization to manage the entire lifecycle of all services (planned, live or retired) and the resources and activities required to deliver the services.

Service delivery -the co-ordination of resources and activities required to deliver services;

Plan the services -the planning of existing, new and changed services;
Control of parties involved in the service lifecycle - significantly updated from the previous version of the standard;

Service catalogue management – one or more catalogue(s);

Asset management;

Configuration management - reference to a CMDB has been removed.

8.3 Relationship and agreement

Supplier has been replaced by External Supplier.

Internal Group has been replaced by Internal Supplier.

Some requirements have been reworded and detail added.

8.4 Supply and demand

The concept of service portfolio management has been introduced and requires the organization to plan for:

Budgeting and accounting for services – this process has been revised and simplified.

Demand management – this has been separated out from capacity management. It requires the organization to determine, monitor and report on current and future demand.

Capacity management – the requirement to create, implement and maintain a capacity plan(s) has been removed and instead the standard requires that capacity is planned.

8.5 Service design, build and transition

This clause specifies the requirements for:

Change management - clarification and detail has been added to the requirement and references to the CMDB has been changed to 'configuration information'. There are more detailed requirements for the transfer of services to or from another party.

Service design and transition – which was in a clause of its own in the previous version of the standard.

Release and deployment – the requirements of this process have been simplified.

8.6 Resolution and fulfilment

Requirements for incident management and service request management have been separated out into two distinct processes.

The requirement for a documented procedure to manage incidents has been removed.
A requirement to record actions taken to resolve incidents, service requests and problems has been added.

8.7 Service assurance

This clause specifies the requirements that relate to the continuity, availability and security of services.

Service availability management and service continuity management have been separated out into two distinct processes.

Information security requirements refer to the ISO/IEC 27000 family of standards. Specific requirements have been added to:
- assess security risks at planned intervals;
- control information security risks related to external organizations;
- procedure to be used for dealing with security incidents.

PERFORMANCE EVALUATION

9.1 Monitoring, measurement, analysis and evaluation

Reference to the "PDCA" ("Plan-Do-Check-Act") methodology have been deleted allowing other improvement methods to be used.

9.2 Internal Audit

There are no new or changed requirements.

9.3 Management Review

There is a restructured and more defined requirement for the inputs to the management review.

9.4 Service reporting

The requirements for reporting are not as specific as previously.

IMPROVEMENT

The requirement for preventive action has been removed.

There is a new requirement that evaluation criteria is to be aligned with the service management objectives.

A documented procedure for improvement is no longer a specific requirement.
TRANSITION TO ISO/IEC 20000-1:2018

As we would like to make the ISO 20000-1:2018 certification process clear and smooth for current and future clients, we have developed a simple policy involving three different scenarios which can be applied to specific situations.

1.1 SCENARIO A

For existing clients, currently certified to ISO/IEC 20000-1:2011, Certification Europe will continue to audit against ISO/IEC 20000-1:2011 as per the planned surveillance / recertification audit schedule until 31st March 2020. Reference will only be made to the ISO/IEC 20000-1:2011 standard when reporting audit findings. • During the surveillance / recertification audits, the assessor will agree with the client a date in the future to carry out a transition assessment of their Service Management System against the requirements of ISO/IEC 20000-1:2018. The time and number of additional days required will be agreed with each client for the transition audit to take place.

All organizations will have to demonstrate that they have carried out an internal audit / gap assessment against the new requirements (and addressed any findings) prior to a transition audit. • At the end of the transition assessment, if the assessor is of the opinion that the Service Management System is compliant with the additional requirements of the ISO/IEC 20000-1:2018 standard then a recommendation for transition of certification may be made, at the assessor’s discretion, based upon the evidence observed during the audit. Findings from this assessment will be recorded in the surveillance / reassessment audit report and will be subject to an independent technical review prior to a final decision being made. • If the assessor is not in a position to recommend transition of certification, then a further assessment may be required depending on the nature of the issues requiring action. Any required action would be agreed between the assessor and client representative at the audit closing meeting. • If transition to ISO 20000-1:2018 is not approved prior to the end of the transition period, the clients Service Management System will not be certified to either ISO 20000-1:2018 or ISO 20000-1:2011 and they will need to start the certification process again with a stage 1 & 2 assessment to have their system certified.

1.2 SCENARIO B

For organizations that are developing a Service Management System with a view to obtaining ISO 20000-1:2011 certification post 31st March 2019, Certification Europe recommends that you complete an assessment against the requirements of ISO 20000-1:2018.
1.3 SCENARIO C

Any client / organization that is in the process of being certified to ISO 20000-1:2011, but who now wishes to be assessed to ISO 20000-1:2018, should contact Customer Services via e-mail at CustomerServices@certificationeurope.com who will be in a position to discuss client requirements on an individual basis.

Certification Europe aims to complete transition audits to all existing ISO 20000-1:2011 certifications before the 30th June 2021. This should be taken into account by clients / organizations as they plan activities for the maintenance and continual improvement of their Service Management System.

Any further enquiries should be directed to Customer Services via e-mail to - CustomerServices@certificationeurope.com.
DUBLIN CITY COUNCIL

TO ESTABLISH A SINGLE PARTY FRAMEWORK FOR A WASTE ENFORCEMENT SERVICE

Submission Date: 21st January 2019