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Guideline for the harmonized implementation of the requirements of ISO/IEC 20000-1:2005 by accredited certification bodies

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Purpose of this document

This document provides a guideline for the review of the implementation of controls listed in ISO/IEC 20000:2005 Part 1 (ISO/IEC 20000-1) and the gathering of audit evidences as to their performance during the initial audit and subsequent surveillance visits.

The guideline table in this document classifies controls into “organisational” vs. “technical” and distinguishes whether a visual inspection or a system testing is required to assess the control effectiveness.

This guideline for ISO/IEC 20000-1 is considered as a mandatory tool for auditing accredited certification bodies by the Swiss SECO/SAS accreditation body. All certification bodies are encouraged to use this guideline for their audits.

How to use this document

The document is separated into 3 major parts:

1. ISO/IEC 20000-1 Controls
2. Audit related information
3. Advisory related information

1. ISO/IEC 20000 Controls

This part of the document consists out of 3 columns which are representing the standard of ISO/IEC 20000-1. In difference to the standard most ISO/IEC 20000-1 controls are split into multiple lines to point out the meaning of the single control.

This implies that within this guideline multiple lines often cover one control of the standard.

- The first column of this section refers to the ISO/IEC 20000-1 controls.
- The second column refers to paragraphs within one control, if available.
- The third column refers to the text of this control or control sequence.

2. Audit related information

The second part of this document consists out of two sections (audit reference, conformity reverence) with 3 respective 2 columns.

Audit Reference

The “Audit reference” section specifies what kind of audit work shall be done by the auditor during the certification audit ISO/IEC 20000-1. It includes the 3 columns:

- Organisational control
- Technical control
- Visual and System inspection

Column “Organisational control”

Evidence of the performance of organisational controls can be gathered through the review of the records regarding the control performance, interviews, observation and physical inspection.

Column “Visual inspection”

“Visual inspection” means that these controls usually require a visual inspection at the location to evaluate their effectiveness. This means that it is not sufficient to review the respective documentation on paper or through interviews – the auditor needs to verify the control at the location where it is

implemented. A control where a visual inspection is indicated is marked with an "R" (visual inspection is "recommended").

Column "Technical control"

Evidence of the performance of technical controls can often be gathered through direct review on systems (e.g. review of CMDB system settings or configuration).

The auditor's questions could be answered at an ITSM system console or by evaluation of the results of reports or printouts from these systems. If the client organization has a computer-based tool in use that is known to the auditor, this can be used to support the audit, or the results of an evaluation performed by the client organization (or their sub-contractors) can be reviewed.

Conformity Reference

These columns reference each control objective to the relevant chapter or section within the BSI publications (British Standard Institution) series "Achieving ISO/IEC 20000".

These references should help each party to distinguish the required level of conformity of each control objective. The description of the controls based on the BSI publications might be mandatory for the validation of a certification audit (benchmark for implemented controls at the client side).

- Column 1 (BIP reference) indicates the related book of the BSI publication.
- Column 2 (BIP chapter) indicates to the relevant chapter within this book.

3. Advisory related

Implementation Reference

These columns reference each control objective to the relevant chapter or section within the ITIL V3 publications series of "OGC, Office of Government Commerce".

These references should help each party to find information, how to implement each control objective according to the most widely accepted approach to IT Service Management.

- Column 1 indicates with an "R" if the reference to the related ITIL V3 publication is "recommended"
- Column 2 indicates with an "H" if the reference to the related ITIL V3 publication is "helpful".
- Column 3 refers to the specific book and chapter of the ITIL V3 publications (SS=Service Strategy, SD=Service Design, ST=Service Transition, SO=Service Operation, CSI=Continual Service Improvement)

Appendix A: Book References

The standard:

- ISO/IEC 20000-1:2005
Information technology – Service management
Part 1: Specification

The BIP reference books:

- Achieving ISO/IEC 20000 (BIP 0030 -0039)
- Management decisions and documentation (BIP 0030)
ISBN: 9780580474583
- Why people matter (BIP 0031)
ISBN: 9780580474590
- Making metrics work (BIP 0032)
ISBN: 9780580474606
- Managing the end-to-end service (BIP 0033)
ISBN: 9780580474613
- Finance for service managers (BIP 0034)
ISBN: 9780580474620
- Enabling change (BIP 0035)
ISBN: 9780580446399
- Keeping the service going (BIP 0036)
ISBN: 9780580446405
- Capacity management (BIP 0037)
ISBN: 9780580446412
- The Differences Between BS 15000 and BS ISO/IEC 20000 (BIP 0038)
ISBN: 9780580446429

The ITIL V3 Service Lifecycle Books:

- Service Strategy (SS)
ISBN: 978011331045
Published for: OGC (Office of Governance Commerce, UK)
Publisher: TSO (The Stationery Office, UK)
- Service Design (SD)
ISBN: 9780113310470
Published for: OGC (Office of Governance Commerce, UK)
Publisher: TSO (The Stationery Office, UK)
- Service Transition (ST)
ISBN: 9780113310487
Published for: OGC (Office of Governance Commerce, UK)
Publisher: TSO (The Stationery Office, UK)
- Service Operation (SO)
ISBN: 9780113310463
Published for: OGC (Office of Governance Commerce, UK)
Publisher: TSO (The Stationery Office, UK)
- Continual Service Improvement (CSI)
ISBN: 9780113310494
Published for: OGC (Office of Governance Commerce, UK)
Publisher: TSO (The Stationery Office, UK)

Appendix B: Authors

This guideline for ISO/IEC 20000-1:2005 was developed by the Advisory Committee Information Technology (ITS) of the Swiss Accreditation Service (SECO-SAS) with the support of:

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ISO/IEC 20000 Controls			Audit related					Advisory related		
			Audit reference		Conformity reference		Implementation reference			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	
Reference to ITIL V3 Manuals										
3. Requirements for Management system										
		Objective: To provide a management system, including policies and a framework to enable the effective management and implementation of all IT services.								
3.1 Management responsibility										
3.1		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.	X			BIP 0030	All	R R	H H H H	SS, Chap. 3 (general) SS, Chap. 4 (general) SS, Chap. 6.1 (Organizational Development) SS, Chap. 6.4 (Organizational Culture) CSI, Chap. 3.10 (Governance)
3.1	a)	Establish the service management policy, objectives and plans.	X			BIP 0030	All	R R	H H H	SS, Chap. 3.5 (Service Strategy Fundamentals) SS, Chap. 4 (Service Strategy) SD, Chap. 2.4,(Service Design Fundamentals, especially p. 17-18) SD, Chap. 6.4.3 (IT Paner) SD, Appendix D2 (IT Plans)
3.1	b)	Communicate the importance of meeting the service management objectives and the need for continual improvement;	X			BIP 0030	All		H	CSI, Chap. 8.5 (Communication Strategy and Plan)

ISO/IEC 20000 Controls			Audit related				Advisory related			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference		Implementation reference		Reference to ITIL V3 Manuals
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	
3.1	c)	Ensure that customer requirements are determined and are met with the aim of improving customer satisfaction.	X			BIP 0030	All	R R	H H	SD, Chap. 3.3 (Identifying Service Requirements) SD, Chap. 3.4 (Identifying and Documenting Business Requirements and Drivers) SD, Chap. 4.1 Service Catalogue Management SD, Chap. 4.2 Service Level Management
3.1	d)	Appoint a member of management responsible for the co-ordination and management of all services.	X			BIP 0030	All		H H H	SD, Chap. 4.1 (Service Catalogue Management) SD, Chap. 6.4.5 (Service Catalogue Manager) CSI, Chap. 6.1 (Roles and Responsibilities that support CSI)
3.1	e)	Determine and provide resources to plan, implement, monitor, review and improve service delivery and management e.g. recruit appropriate staff, manage staff turnover.	X			BIP 0030	All	R R R R	H	ST, Chap. 4.4.5.6 (Perform, transfer, deployment and retirement) ST, Chap. 4.4.9 (Challenges, critical success Factors, risks) ST, Chap. 5.2.2 (Organization, roles and responsibilities) ST, Tab. 5.4 (Example of organization work products ...) CSI, Chap. 6.1 (Roles and Responsibilities that support CSI)
3.1	f)	Manage risks to the service management organization and services.	X			BIP 0030	All	R	H H	SS, Chap. 9 (Challenges, Critical Success Factors and Risks) ST, Chap. 9.3 (Risks) – Examples for risks to be managed CSI, Chap. 9 (Challenges, Critical Success Factors and Risks)
3.1	g)	Conduct reviews of service management, at planned intervals, to ensure continuing suitability, adequacy and effectiveness.	X			BIP 0030	All	R R	H H H	SS, Chap. 2.5 (The Service Lifecycle) SS, Chap. 5.4 (Service Portfolio Management) CSI (generally) CSI, Chap. 3.6 (The Deming Cycle) CSI, Chap. 4.1 (The 7-Step Improvement Process)

ISO/IEC 20000 Controls			Audit related				Advisory related		
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference		Implementation reference	
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful
3.2 Management responsibility									
3.2		Service providers shall provide documents and records to ensure effective planning, operation and control of service management. This shall include:	X			BIP 0030	All	H H	SS, Chap. 3 (generally) ST, Chap. 7.1 (Knowledge Management Tools)
3.2	a)	Documented service management policies and plans.	X			BIP 0030	All	R R R H	SS, Chap. 3.5 (Service Strategy Fundamentals) SS, Chap. 4 (Service Strategy) SD, Chap. 2.4 (Service Design Fundamentals, especially p. 17-18) SD, Chap. 6.4.3 (IT Planer) SD Appendix D1 (Design and architectural documents and standards) SD, Appendix D2 (IT Plans)
3.2	b)	Documented service level agreements.	X			BIP 0030	All	R H	SD, Chap. 4.2 (Service Level Management) SD, Appendix F (Sample SLA and OLA)
3.2	c)	Documented processes and procedures required by this standard.	X			BIP 0030	All	R H H	All books: Each corresponding ITIL chapter for the ISO 20000 process SD, Appendix C (Process Documentation Templates) SD, Appendix D (Design and Planning Documents and their content)
3.2	d)	Records required by this standard.	X			BIP 0030	All	H H	CSI, Chap. 4.2 (Service Reporting) CSI, Chap. 4.3 (Service Measurement)

ISO/IEC 20000 Controls			Audit related				Advisory related			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference		Conformity reference		Implementation reference			
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	Reference to ITIL V3 Manuals
3.2		Procedures and responsibilities shall be established for the creation, review, approval, maintenance, disposal and control of various types of documents records.	X			BIP 0030	All	R	H H H H H	SD, Chap. 6.4.1 (Process Owner) SD, Appendix D (Design and Planning Documents and their content) ST, Chap. 4.3.4.3 ST, Chap. 4.3.5.3 ST, Chap. 4.3.5.5 ST, Chap. 4.3.7
3.3 Competence, awareness and training										
3.3		All service management roles and responsibilities shall be defined and maintained together with the competencies required to execute them effectively.	X			BIP 0031	All	R R R R R		SS, Appendix B2 (Product Manager) SD, Chap. 6 (Organizing for Service Design) ST, Chap. 6 (Organizing for Service Design) SO, Chap. 3.1 (Functions, Groups, Teams, Departments and Divisions) SO, Chap. 6 (Organizing for Service Design) CSI, Chap. 6.1 (Roles and Responsibilities that support CSI)
3.3		Staff competencies and training needs shall be reviewed and managed to enable staff to perform their role effectively.	X			BIP 0031	All		H H H	ST, Chap. 4.7.5.2 (Knowledge Transfer) CSI, Chap. 5.3 (Benchmarking) CSI, Chap. 6.1.1 (CSI Activities and skills required) Note: The ITIL handbooks do not really treat the management of collaborator skills. The references listed may be applied as similar approaches and methods.
3.3		Top management shall ensure that its employees are aware of the relevance and importance of their activities and how they contribute to the achievement of the service management objectives.	X			BIP 0031	All			

ISO/IEC 20000 Controls			Audit related				Advisory related		
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference		Implementation reference	
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful
4. Planning and implementing service									
4.1 Plan service management (Plan)									
		Objective: To plan the implementation and delivery of service management.						H	ST, Chap. 5.1.4 Overview
		Service management shall be planned. The plans shall at a minimum define:	X			BIP 0038	Chap. 5	H	SD, Appendix D2 (IT Plans)
4.1	a)	The scope of the service provider's service management.	X			BIP 0038	Chap. 5	H H	SS, Chap. 4 (Service Strategy) SS, Chap. 5.3 (Service Portfolio Management)
4.1	b)	The objectives and requirements that are to be achieved by service management.	X			BIP 0038	Chap. 5	R R H H	SS, Chap. 4 (Service Strategy) SS, Chap. 5.3 (Service Portfolio Management) SD, Chap. 3.3 (Identifying Service Requirements) SD, Chap. 3.4 (Identifying and Documenting Business Requirements and Drivers) SD, Chap. 4.1 Service Catalogue Management SD, Chap. 4.2 Service Level Management
4.1	c)	The processes that are to be executed.	X			BIP 0038	Chap. 5	H	All books: Each chapter corresponding to the ISO 20000 process

ISO/IEC 20000 Controls			Audit related				Advisory related			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference		Implementation reference		Reference to ITIL V3 Manuals
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	
4.1	d)	The framework of management roles and responsibilities, including the senior responsible owner, process owner and management of suppliers.	X			BIP 0038	Chap. 5		H H H H H	SS, Appendix B2 (Product Manager) SD, Chap. 6 (Organizing for Service Design) ST, Chap. 6 (Organizing for Service Design) SO, Chap. 3.1 (Functions, Groups, Teams, Departments and Divisions) SO, Chap. 6 (Organizing for Service Design) CSI, Chap. 6.1 (Roles and Responsibilities that support CSI)
4.1	e)	The interfaces between service management processes and the manner in which the activities are to be co-ordinated.	X			BIP 0038	Chap. 5		H	All books: Each chapter corresponding to the ISO 20000 process
4.1	f)	The approach to be taken in identifying, assessing and managing issues and risks to the achievement of the defined objectives.	X			BIP 0038	Chap. 5	R R R	H H H	SS, Chap. 9 (Challenges, Critical Success Factors and Risks) SS, Chap. 9.5 (especially within Chap.9, already cited) SD, Chap. 4.4.5.2 (S. 118f) SD, Chap. 4.5.5.2 SD, Chap. 9 (Challenges, Critical Success Factors and Risks) ST, Chap. 9 (Challenges, Critical Success Factors and Risks) SO, Chap. 9 (Challenges, Critical Success Factors and Risks) CSI, Chap. 5.6.3 (Risk Management) CSI, Chap. 9 (Challenges, Critical Success Factors and Risks)

ISO/IEC 20000 Controls			Audit related				Advisory related			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference		Implementation reference		Reference to ITIL V3 Manuals
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	
4.1	g)	The approach for interfacing to projects that are creating or modifying services.	X			BIP 0038	Chap. 5	R	H H R H H H H H	SD, Chap. 2.4.2 SD, Chap. 3.11.3 (Design and Development Approaches) ST, Fig. 6.1 (Example of Service Transition Organization and its interfaces) ST, Chap. 8.1.2.2 (Relationships) CSI, Chap. 3.11.1 CSI, Chap. 4.1.1 CSI, Chap. 4.4.1 (metric relating incident mgmt & projects) CSI, Chap. 4.5 What do we need? What can we afford? CSI, Chap. 5.1 CSI, Chap. 5.2
4.1	h)	The resources, facilities and budget necessary to achieve the defined objectives.	X		R	BIP 0038	Chap. 5		H H H	SS, Chap. 5.1 (Financial Management) SS, Chap. 5.1.2.2 (Demand Modelling) SS, Chap. 5.5.2 (Activity-based Demand Management)
4.1	i)	Tools as appropriate to support the processes.	X	X	R	BIP 0038	Chap. 5		H H H H H	SS, Chap. 8.3 (Tools for Service Strategy) SD, Chap. 7 (Technology Considerations) ST, Chap. 8 (Technology Considerations) SO, Chap. 7 (Technology Considerations) CSI, Chap. 7 (Technology Considerations)
4.1	j)	How the quality of the service will be managed, audited and improved.	X			BIP 0038	Chap. 5	R R R		SD, Chap. 4.2 Service Level Management CSI, Chap. 3.5 Service Level Management CSI, Chap. 3.6 The Deming Cycle CSI, Chap. 3.7 Service Measurement
4.1		There shall be clear management direction and documented responsibilities for reviewing, authorising, communicating, implementing and maintaining the plans.	X			BIP 0038	Chap. 5	R R R	H H	SS, Chap. 6.1 (Organizational Development) SS, Chap. 6.2 (Organizational Departmentalization) SS, Chap. 6.4 (Organizational Culture) SD, Chap. 6.4.1 (Process Owner) SD, Chap. 6.4.3 (IT Planer)

ISO/IEC 20000 Controls			Audit related				Advisory related			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference		Implementation reference		Reference to ITIL V3 Manuals
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	
4.1		Any process specific plans produced shall be compatible with this service management plan.	X			BIP 0038	Chap. 5		H H H H H	SS, Chap. 7.2 (Strategy and Design) SS, Chap. 7.3 (Strategy and Transition) SS, Chap. 7.4 (Strategy and Operations) SS, Chap. 7.5 (Strategy and Improvement) CSI, Chap. 5.6 (CSI and other Service Mgmt Processes)
4.2 Implement service management and provide the services (Do)										
		Objective: To implement the service management objectives and plan.					Chap. 6			ST, Chap. 5.1.4 8 (Overview)
		The service provider shall implement the service management plan to manage and deliver the services, including:				BIP 0038	Chap. 6	R		SD, Appendix D2 (IT Plans)
4.2	a)	Allocation of funds and budgets.	X			BIP 0038	Chap. 6	R	H	SS, Chap. 5.1 (Financial Management - generally) SS, Chap. 5.1.2.5 (Planning Confidence - in particular)
4.2	b)	Allocation of roles and responsibilities.	X			BIP 0038	Chap. 6		H H H H H	SS, Appendix B2 (Product Manager) SD, Chap. 6 (Organizing for Service Design) ST, Chap. 6 (Organizing for Service Design) SO, Chap. 3.1 (Functions, Groups, Teams, Departments and Divisions) SO, Chap. 6 (Organizing for Service Design) CSI, Chap. 6.1 (Roles and Responsibilities that support CSI)
4.2	c)	Documenting and maintaining the policies, plans, procedures and definitions for each process or set of processes.	X			BIP 0038	Chap. 6	R	H H	SD, Chap. 6.4.1 (Process Owner) SD, Appendix C (Process Documentation Templates) SD, Appendix D (Design and Planning Documents and their content)

ISO/IEC 20000 Controls			Audit related				Advisory related			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference		Implementation reference		
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	Reference to ITIL V3 Manuals
4.2	d)	Identification and management of risks to the service.	X			BIP 0038	Chap. 6		H H H H H H H	SS, Chap. 9 (Challenges, Critical Success Factors and Risks) SD, Chap. 9 (Challenges, Critical Success Factors and Risks) ST, Chap. 9 (Challenges, Critical Success Factors and Risks) SO, Chap. 9 (Challenges, Critical Success Factors and Risks) CSI, Chap. 3.6 (The Deming Cycle) CSI, Chap. 4.1 (The 7-Step Improvement Process) CSI, Chap. 9 (Challenges, Critical Success Factors and Risks)
4.2	e)	Managing teams, e.g. recruiting and developing appropriate staff and managing staff continuity.	X			BIP 0038	Chap. 6		H H H H	CSI, Chap. 2.3 (Functions and Processes across the Lifecycle) CSI, Chap. 3.1 (CSI and Organizational Change) CSI, Chap. 3.2 (Ownership) CSI, Chap. 3.3 (Role Definition)
4.2	f)	Managing facilities and budget.	X			BIP 0038	Chap. 6		H H	SS, Chap. 5.1 (Financial Management - generally) SO, Appendix E (Detailed Description of Facility Mgmt)
4.2	g)	Managing the teams including service desk and operations;	X			BIP 0038	Chap. 6		H	SO, Chap. 6 (Organizing for Service Operation)
4.2	h)	Reporting progress against the plans.	X			BIP 0038	Chap. 6		H	CSI, Chap. 4.2 (Service Reporting)
4.2	i)	Co-ordination of service management processes.	X			BIP 0038	Chap. 6		H H H H H	SS, Chap. 7.2 (Strategy and Design) SS, Chap. 7.3 (Strategy and Transition) SS, Chap. 7.4 (Strategy and Operations) SS, Chap. 7.5 (Strategy and Improvement) CSI, Chap. 5.6 (CSI and other Service Mgmt Processes)

ISO/IEC 20000 Controls			Audit related				Advisory related				
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference		Conformity reference		Implementation reference				
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	Reference to ITIL V3 Manuals	
4.3 Monitoring, measuring and reviewing (Check)											
		Objective: To monitor, measure and review that the service management objectives and plan are being achieved.				BIP 0038	Chap. 7				
4.3		The service provides shall apply suitable methods for monitoring and, where applicable, measurement of the service management processes. These methods shall demonstrate the ability of the processes to achieve planned results.	X		R	BIP 0038		R	H	CSI, Chap. 3.6 (The Deming Cycle) CSI, Chap. 4.1 (The 7-Step Improvement Process) H CSI, Chap. 4.2. (Service Reporting) H CSI, Chap. 4.3. (Service Measurement) H CSI, Chap. 5.1 (Methods and Techniques) H CSI, Chap. 5.4 (Measuring and Reporting Frameworks) H SD, Chap. 4.1.8 (Service Catalogue) and each of the chapters for the KPIs from: H SD, Chap. 4.2.7 (Service Level Management) H SD, Chap. 4.3.7 (Capacity Management) H SD, Chap. 4.4.7 (Availability Management) H SD, Chap. 4.5.7 (IT Service Continuity Management) H SD, Chap. 4.5.7 (Information Security) H SD, Chap. 4.7.7 (Supplier Management) H ST, Chap. 4.2.8 (Change Management) H ST, Chap. 4.3.8 (Configuration Management) H ST, Chap. 4.4.8 (Release Management) H ST, Chap. 4.5.8 (Testing Management) H ST, Chap. 4.6.9 (Evaluation Management) H ST, Chap. 4.7.7 (Knowledge Management) H SO, Chap. 4.2.8 (Incident Management) H SO, Chap. 4.3.8 (Request Fulfilment) H SO, Chap. 4.4.8 (Problem Management) SO, Chap. 4.5.8 (Access Management)	

ISO/IEC 20000 Controls			Audit related				Advisory related				
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference		Implementation reference			
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	Reference to ITIL V3 Manuals	
4.3		Management shall conduct reviews at planned intervals to determine whether the service management requirements:	X			BIP 0038	Chap. 7	R R R R R			SD, Chap. 4.2.5.7 (Conduct service reviews and ...) ST, Chap. 6.1.1 (Process Owner Role) CSI, Chap. 3.6 (The Deming Cycle) CSI, Chap. 4.1 (The 7-Step Improvement Process) CSI, Chap. 2.4.3 (CSI Scope) CSI, Chap. 5.3.6 benchmark reviews
4.3	a)	Conform with the service management plan and to the requirements of this standard;	X			BIP 0038	Chap. 7	R R	H H H H		SD, Chap. 4.2.5.7 (Conduct service reviews and ...) ST, Chap. 6.1.1 (Process Owner Role) CSI, Chap. 3.6 (The Deming Cycle) CSI, Chap. 4.1 (The 7-Step Improvement Process) CSI, Chap. 2.4.3 (CSI Scope) CSI, Chap. 5.3.6 benchmark reviews
4.3	b)	Are effectively implemented and maintained.	X			BIP 0038	Chap. 7	R R	H H H H		SD, Chap. 4.2.5.7 (Conduct service reviews and ...) ST, Chap. 6.1.1 (Process Owner Role) CSI, Chap. 3.6 (The Deming Cycle) CSI, Chap. 4.1 (The 7-Step Improvement Process) CSI, Chap. 2.4.3 (CSI Scope) CSI, Chap. 5.3.6 benchmark reviews
4.3		An audit programme shall be planned, taking into consideration the status and importance of the processes and areas to be audited, as well as the results of previous audits.	X			BIP 0038	Chap. 7		H H H H H H H H H		SD, Chap. 4.6.5 (Process activities, methods and techniques) SD, Chap. 8.4.2 (Implementing Service Design) SD, Appendix H (Service Management Maturity Framework) CSI, Chap. 3.6 (The Deming Cycle) CSI, Chap. 4.1 (The 7-Step Improvement Process) CSI, Appendix A (CobIT) Specific examples are: SD, Chap. 4.6.4 (Policies, principals, basic concepts) SD, Chap. 4.6.6.2 (Outputs) SD, Chap. 4.6.7 (Key Performance Indicators)

ISO/IEC 20000 Controls			Audit related				Advisory related			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference		Implementation reference		
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	Reference to ITIL V3 Manuals
4.3		The audit criteria, scope, frequency and methods shall be defined in a procedure.	X			BIP 0038	Chap. 7		H H H	SD, Appendix C (Process Documentation Templates) CSI, Chap. 3.6 (The Deming Cycle) CSI, Chap. 4.1 (The 7-Step Improvement Process)
4.3		The selection of auditors and conduct of audits shall ensure objectivity and impartiality of the audit process.	X			BIP 0038	Chap. 7		H	CSI, Chap. 5.2 (Assessments)
4.3		Auditors shall not audit their own work.	X			BIP 0038	Chap. 7		H	CSI, Chap. 5.2 (Assessments)
4.4 Continual improvement (Act)										
		Objective: To improve the effectiveness and efficiency of service delivery and management.								
4.4.1 Policy										
4.4.1		There shall be a published policy on service improvement.	X			BIP 0038	Chap. 8		H H H H H	SD, Appendix C (Process Documentation Templates) CSI, Chap. 3.6 (The Deming Cycle) CSI, Chap. 4.1 (The 7-Step Improvement Process) CSI, Chap. 4.3 Table, Tab. 4.12 (Policy Template) CSI, Chap. 4.3.12 (CSI Policies)

ISO/IEC 20000 Controls			Audit related				Advisory related		
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference	Implementation reference		Reference to ITIL V3 Manuals
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	
		Any non-compliance with the standard or the service management plans shall be remedied.	X			BIP 0038	Chap. 8	H H H H H	ST, Chap. 3.2.1 (Define and implement a formal policy for ST) CSI, Chap. 3.6 (The Deming Cycle) CSI, Chap. 4.1 (The 7-Step Improvement Process) CSI, Chap. 4.2. (Service Reporting) CSI, Chap. 4.3. (Service Measurement)
		Roles and responsibilities for service improvement activities shall be clearly defined.	X			BIP 0038	Chap. 8	R	CSI, Chap. 6 (Organizing for Continual Service Improvement)
4.4.2 Management of improvements									
4.4.2		All suggested service improvements shall be assessed, recorded, prioritized and authorized. A plan shall be used to control the activity.	X		R	BIP 0038	Chap. 8	R H H H H H H H	CSI, Chap. 2.4 (CSI Fundamentals) CSI, Chap. 3.6 (The Deming Cycle) CSI, Chap. 4.1 (The 7-Step Improvement Process) CSI, Chap. 4.2. (Service Reporting) CSI, Chap. 4.3. (Service Measurement) CSI, Chap. 4.6.2 (Service Improvement Plans) CSI, Chap. 5.3.7 (Comparison with industry norms) CSI, Chap. 5.5 (Deming Cycle) CSI, Chap. 5.6.5 (Change Management)
4.4.2		The service provider shall have a process in place to identify, measure, report and manage improvement activities on an ongoing basis. This shall include:	X			BIP 0038	Chap. 8	R R	SD, Appendix C (Process Documentation Templates) CSI, Chap. 3.6 (The Deming Cycle) CSI, Chap. 4.1 (The 7-Step Improvement Process)
4.4.2	a)	Improvements to an individual process that can be implemented by the process owner with the usual staff resources, e.g. performing individual corrective and preventive actions.	X			BIP 0038	Chap. 8	R R R	SD, Chap. 6.4.1 (Process owner) SD, Appendix C (Process Documentation Templates) CSI, Chap. 3.6 (The Deming Cycle) CSI, Chap. 4.1 (The 7-Step Improvement Process)

ISO/IEC 20000 Controls			Audit related				Advisory related			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference		Implementation reference		Reference to ITIL V3 Manuals
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	
4.4.2	b)	Improvements across the organization or across more than one process.	X			BIP 0038	Chap. 8	R R R	H	SD, Appendix C (Process Documentation Templates) CSI, Chap. 3.6 (The Deming Cycle) CSI, Chap. 4.1 (The 7-Step Improvement Process) CSI, Chap. 6.1.3 (Role of CSI Manager)
4.4.3 Activities										
4.4.3		The service provider shall perform activities to:				BIP 0038	Chap. 8			
	a)	Collect and analyse data to baseline and benchmark the service provider's capability to manage and deliver service and service management processes.	X			BIP 0038	Chap. 8	R R R	H H H H H H H	SS, Chap. 5.1.2.1 (Service Valuation) SS, Chap. 6.5.6 (Critical Success Factors) SD, Chap. 8.4.2 (Where are we now?) CSI, Chap. 3.7 (Baselines) CSI, Chap. 3.9 (Benchmarks) CSI, Chap. 4.1 (The 7-Step Improvement Process) CSI, Chap. 4.2. (Service Reporting) CSI, Chap. 4.3. (Service Measurement) CSI, Chap. 5.2 (Assessments) CSI, Chap. 5.3 (Benchmarking)
	b)	Identify, plan and implement improvements.	X			BIP 0038	Chap. 8	R R	H H H H H H H	CSI, Chap. 2.4 (CSI Fundamentals) CSI, Chap. 3.6 (The Deming Cycle) CSI, Chap. 4.1 (The 7-Step Improvement Process) CSI, Chap. 4.2. (Service Reporting) CSI, Chap. 4.3. (Service Measurement) CSI, Chap. 4.6.2 (Service Improvement Plan) CSI, Chap. 5.3.7 (Comparison with industry norms) CSI, Chap. 5.5 (Deming Cycle) CSI, Chap. 5.6.5 (Change Management)

ISO/IEC 20000 Controls			Audit related				Advisory related			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference	Implementation reference			
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	Reference to ITIL V3 Manuals
	c)	Consult with all parties involved.	X			BIP 0038	Chap. 8	R	H H H H	CSI, Chap. 3.3 (Role Definitions) CSI, Chap. 4.1 (The 7-Step Improvement Process) CSI, Chap. 4.2. (Service Reporting) CSI, Chap. 4.3. (Service Measurement) CSI, Chap. 6.2.1 (Process flows and RACI)
	d)	Set targets for improvements in quality, costs and resource utilization.	X			BIP 0038	Chap. 8		H H H	CSI, Chap. 4.1 (The 7-Step Improvement Process) CSI, Chap. 4.2. (Service Reporting) CSI, Chap. 4.3. (Service Measurement)
	e)	Consider relevant inputs about improvements from all the service management processes.	X			BIP 0038	Chap. 8		H H H H	CSI, Chap. 4.1 (The 7-Step Improvement Process) CSI, Chap. 4.2. (Service Reporting) CSI, Chap. 4.3. (Service Measurement) CSI, Chap. 5.7, Fig. 5.14 (Sources of Knowledge)
	f)	Measure, report and communicate the service improvements.	X		R	BIP 0038	Chap. 8	R R R	H H	CSI, Chap. 4.1 (The 7-Step Improvement Process) CSI, Chap. 4.2. (Service Reporting) CSI, Chap. 4.3. (Service Measurement) CSI, Chap. 4.4.3 (Measuring Benefits Achieved) CSI, Chap. 5.4 (Measuring and Reporting Frameworks)
	g)	Revise the service management policies, processes, procedures and plans where necessary.	X			BIP 0038	Chap. 8		H H H H	CSI, Chap. 4.1 (The 7-Step Improvement Process) CSI, Chap. 4.2. (Service Reporting) CSI, Chap. 4.3. (Service Measurement) CSI, Chap. 5.5.1 (Deming Cycle used for improving Services)
	h)	Ensure that all approved actions are delivered and that they achieve their intended objectives.	X			BIP 0038	Chap. 8	R	H H H	ST, Chap. 4.6 (Evaluation) CSI, Chap. 4.1 (The 7-Step Improvement Process) CSI, Chap. 4.2. (Service Reporting) CSI, Chap. 4.3. (Service Measurement)

ISO/IEC 20000 Controls			Audit related					Advisory related	
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference		Implementation reference	
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful
5. Planning and implementing new or changed services									
		Objective: To ensure that new services and changes to services will be deliverable and manageable at the agreed cost and service quality.							
5		Proposals for new or changed services shall consider the cost, organizational, technical and commercial impact that could result from service delivery and management.	X			BIP 0038	Chap. 9	R R R	SD, Chap. 3.3 (Identifying Service Requirements) SD, Chap. 3.4 (Identifying and Documenting Business Requirements and Drivers) ST, Chap. 4.2.6.4 (Assess and Evaluate the Change)
5		The implementation of new or changed services, including closure of a service, shall be planned and approved through formal change management.	X		R	BIP 0038	Chap. 9	R R	H SD, Fig. 3.5 (Aligning new services to business requirements) ST, Chap. 4.2 (Change Management)
5		The planning and implementation shall include adequate funding and resources to make the changes needed for service delivery and management.	X			BIP 0038	Chap. 9	R R R	SD, Chap. 3.3 (Identifying Service Requirements) SD, Chap. 3.4 (Identifying and Documenting Business Requirements and Drivers) ST, Chap. 4.2.6.4 (Assess and Evaluate the Change)
5		The plans shall include:				BIP 0038	Chap. 9		
5	a)	The roles and responsibilities for implementing, operating and maintaining the new or changed service including activities to be performed by customers and suppliers.	X			BIP 0038	Chap. 9	R R	H ST, Chap. 6 (Organizing for Service Operation) SO, Chap. 3.1 (Functions, Groups, Teams Departments and Divisions) SO, Chap. 6 (Organizing for Service Operation)

ISO/IEC 20000 Controls			Audit related				Advisory related			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference		Implementation reference		
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	Reference to ITIL V3 Manuals
5	b)	Changes to the existing service management framework and services.	X			BIP 0038	Chap. 9	R R R	H H H	SS, Chap. 5.3 (Service Portfolio Management) SD, Chap. 4.1 (Service Catalogue Management) SD, Chap. 4.2 (Service Level Management) SD, Fig. 4.2 (Service Design, the big picture) SD, Appendix A (The Service Design Package) ST, Chap. 4.2.7 (triggers of Change Mgmt)
5	c)	Communication to the relevant parties.	X			BIP 0038	Chap. 9	R R	H H	ST, Chap. 5.1 Managing Communications and Commitment ST, Chap. 4.1.6.2 (Admin of communication to stakeholders) ST, Fig. 4.5 (communications around change) CSI, Chap. 8.5 (Communication Strategy and Plan)
5	d)	New or changed contracts and agreements to align with the changes in business need.	X			BIP 0038	Chap. 9		H H	SD, Chap. 4.2 (Service Level Management) SD, Chap. 4.7 (Supplier Management)
5	e)	Manpower and recruitment requirements.	X			BIP 0038	Chap. 9		H H H	SD, Chap. 3.11 (Service Design Model) SD, Chap. 3.6 (Design Aspects) ST, Chap. 4.4 (Release Management)

ISO/IEC 20000 Controls			Audit related				Advisory related			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference		Implementation reference		Reference to ITIL V3 Manuals
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	
5	f)	Skills and training requirements, e.g. users, technical support.	X			BIP 0038	Chap. 9	R R R R R R R R R	H H H H H H H H	SD, Chap. 7.1 Management of skills as assets SD, Chap. 7.2 Assessment of training needs for new tools SD App A1 Training Plan & Org. Readiness Assessment in SDP SD, Chap. 3.6.3.1 Soft Skills Challenge SD, Chap. 3.11 Skill factor in considering sourcing strategies SD, Chap. 4.3.2 Skill levels within scope of Capacity SD, Chap. 4.5.5 Minimum skills required defined in BIA SD, Chap. 4.7.5.2 Skills critical in managing supplier relationships SD, Chap. 5.1.4.1 Dealing with tacit knowledge (skills documented as part of requirement engineering) SD, Chap. 6.3 Skills and Attributes SD, Chap. 8.4.2 Skill assessment as part of Where are we now? ST, Chap. 5.2.6 Table 5.4 ST, Chap. 5.2.7 Table 5.5
5	g)	Processes, measures, methods and tools to be used in connection with the new or changed service, e.g. capacity management, financial management.	X			BIP 0038	Chap. 9	R R R R R		SD, Chap. 3.6.4 Designing Processes SD, Chap. 4 processes described in detail SD, Chap. 3.6.5 Design of Measurements Systems and Metrics SD, Chap. 7 Service Design and Mgmt tools SD, Chap. 3.6.2 Designing Supporting Systems
5	h)	Budgets and time-scales.	X			BIP 0038	Chap. 9		H H H	SD, Chap.3.6.1 List of rubrics to budget SD, Chap.4.3.6.1 Details of financial inputs to Capacity Mgmt (that must be budgeted) SD, Chap.4.7.6.1 Details of financial inputs to Supplier Mgmt (that must be budgeted)
5	i)	Service acceptance criteria.	X			BIP 0038	Chap. 9	R		SD, Appendix B (Service Acceptance Criteria)

ISO/IEC 20000 Controls			Audit related				Advisory related			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference	Implementation reference		Reference to ITIL V3 Manuals	
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended		Helpful
5	j)	The expected outcomes from operating the new service expressed in measurable terms.	X			BIP 0038	Chap. 9	R	H H H H	SS, Chap.3.1 Value Creation SS, Chap.5.2 Return on Investment SD, Appendix A (Service Design Package) ST, Chap. 4.6 (Evaluation)
5		New or changed services shall be accepted by the service provider before being implemented into the live environment.	X			BIP 0038	Chap. 9	R R R	H H H	SD, Appendix A (Service Design Package) ST, Chap. 4.2 (Change Management) ST, Chap.4.5.4.10 Types of Testing ST, Chap.4.5.6.3 Outputs ST, Chap. 4.6 (Evaluation)
5		The service provider shall report on the outcomes achieved by the new or changed service against those planned following its implementation.	X		R	BIP 0038	Chap. 9	R	H H	SD, Appendix A (Service Design Package) ST, Chap. 4.2 (Change Management) ST, Chap. 4.6 (Evaluation)
5		A post implementation review comparing actual outcomes against those planned shall be performed through the change management process.	X			BIP 0038	Chap. 9	R	H H	SD, Appendix A (Service Design Package) ST, Chap. 4.2 (Change Management) ST, Chap. 4.6 (Evaluation)
6. Service delivery process										
6.1 Service level management										
		Objective: To define, agree, record and manage levels of service.								
6.1		The full range of services to be provided together with the corresponding service level targets and workload characteristics shall be agreed by the parties and recorded.	X			BIP 0033	Chap. 4	R	H H H	SS, Chap. 5.3 (Service Portfolio Management) SD, Chap. 4.1 (Service Catalogue Management) SD, Chap. 4.2 (Service Level Management) SD, App G, Sample Service Catalogue

ISO/IEC 20000 Controls			Audit related				Advisory related			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference		Implementation reference		
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	Reference to ITIL V3 Manuals
6.1		Each service provided shall be defined, agreed and documented in one or more service level agreements (SLAs).	X			BIP 0033	Chap. 4	R	H	SD, Chap. 4.2 (Service Level Management) SD, App. F Sample SLA and OLA
6.1		SLAs, together with supporting service agreements, supplier contracts and corresponding procedures, shall be agreed by all relevant parties and recorded.	X			BIP 0033	Chap. 4	R R R		SD, Chap. 4.2 (Service Level Management) SD, Chap. 4.7 (Supplier Management) SD, App. F Sample SLA and OLA
6.1		The SLAs shall be under the control of the change management process.	X			BIP 0033	Chap. 4		H H	SD, Chap. 4.2 (Service Level Management) ST, Chap. 4.2 (Change Management)
6.1		The SLAs shall be maintained by regular reviews by the parties to ensure that they are up-to-date and remain effective over time.	X			BIP 0033	Chap. 4	R		SD, Chap. 4.2 (Service Level Management)
6.1		Service levels shall be monitored and reported against targets, showing both current and trend information.	X	X	R	BIP 0033	Chap. 4	R R	H H	SD, Chap. 4.2 (Service Level Management) SO, Chap.5.1 (Monitoring and Control) CSI, Chap. 4.2. (Service Reporting) CSI, Chap. 4.3. (Service Measurement)
6.1		The reasons for non-conformance shall be reported and reviewed.	X			BIP 0033	Chap. 4	R R		CSI, Chap. 4.3.6 (Service Management Process Measurement) CSI, Chap. 5.6.1 (Availability Management)
6.1		Actions for improvement identified during this process shall be recorded and provide input into a plan for improving the service.	X			BIP 0033	Chap. 4	R R	H H	SD, Chap. 4.2 (Service Level Management) CSI, Chap. 3.6 (The Deming Cycle) CSI, Chap. 4.1 (The 7-Step Improvement Process) CSI, Chap.4.6.2 Service Improvement Plan

ISO/IEC 20000 Controls			Audit related					Advisory related		
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference		Implementation reference		
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	Reference to ITIL V3 Manuals
6.2 Service reporting										
		Objective: To produce agreed, timely, reliable, accurate reports for informed decision making and effective communication.								
6.2		There shall be a clear description of each service report including its identity, purpose, audience and details of the data source.	X			BIP 0032	all	R	H	All books: Each corresponding ITIL chapter for the ISO 20000 process CSI, Chap. 4.2. (Service Reporting)
6.2		Service reports shall be produced to meet identified needs and customer requirements. Service reporting shall include:	X		R	BIP 0032	all	R R	H H	SD, Chap. 4.2 (Service Level Management) CSI, Chap.4.1 pp. 52ff Presenting and Using the Information CSI, Chap. 4.2. (Service Reporting) CSI, Chap. 4.3. (Service Measurement)
6.2	a)	Performance against service level targets.	X	X		BIP 0032	all	R R	H H H	SD, Chap. 4.2 (Service Level Management) SO, App B3 Performance Reporting CSI, Chap. 4.2. (Service Reporting) CSI, Chap. 4.3. (Service Measurement) CSI, Chap.7.1.7 Performance management
6.2	b)	Non-compliance and issues, e.g. against the SLA, security breach.	X			BIP 0032	all	R R R		SO, App. B6 Communication related to exceptions CSI, Chap. 4.3.6 (Service Management Process Measurement) CSI, Chap. 5.6.1 (Availability Management)
6.2	c)	Workload characteristics, e.g. volume, resource utilization.	X			BIP 0032	all	R	H H H H H	SD, Chap. 4.2 (Service Level Management) CSI, Chap. 4.2. (Service Reporting) CSI, Chap. 4.3. (Service Measurement) CSI, Chap.5.6.2 Workload Management and Demand Management CSI, Chap.7.1.7 Performance management CSI, Chap.7.1.9 Statistical Analysis Tools

ISO/IEC 20000 Controls			Audit related				Advisory related			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference		Implementation reference		Reference to ITIL V3 Manuals
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	
6.2	d)	Performance reporting following major events, e.g. major incidents and changes for clients.	X		R	BIP 0032	all	R R	H H	SD, Chap. 4.2 (Service Level Management) SO, App. B6 Communication related to exceptions CSI, Chap. 4.2. (Service Reporting) CSI, Chap. 4.3. (Service Measurement)
6.2	e)	Trend information.	X		R	BIP 0032	all	R	H H H	SD, Chap. 4.2 (Service Level Management) CSI, Chap.4.1 (7-step improvement) CSI, Chap. 4.2. (Service Reporting) CSI, Chap. 4.3. (Service Measurement)
6.2	f)	Satisfaction analysis.	X			BIP 0032	all	R	H H	SD, Chap. 4.2 (Service Level Management) CSI, Chap. 4.2. (Service Reporting) CSI, Chap. 4.3. (Service Measurement)
6.2		Management decisions and corrective actions shall take into consideration the findings in the service reports and shall be communicated to relevant parties.	X			BIP 0032	all	R R	H H H H	SS, Chap. 3 (general) SS, Chap. 4 (general) SD, Chap.4.3.5 (Process activities, methods and techniques) CSI, Chap. 3.6 (The Deming Cycle) CSI, Chap. 4.1 (The 7-Step Improvement Process) CSI, Chap. 8.5 (Communication Strategy and Plan)
6.3 Service continuity and availability										
		Objective: To ensure that agreed service continuity and availability commitments to customers can be met in all circumstances.								

ISO/IEC 20000 Controls			Audit related				Advisory related			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference		Implementation reference		
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	Reference to ITIL V3 Manuals
6.3		Availability and service continuity requirements shall be identified on the basis of business plans, SLAs and risk assessments.	X			BIP 0036	Chap. 3	R R R	H	SS, Chap. 9.5 (Risks) SS, Chap. 5.5 (Demand Management) SD, Chap. 3.3 (Identifying Service Requirements) SD, Chap. 3.4 (Identifying and Documenting Business Requirements and Drivers) SD, Chap. 4.2 (Service Level Management) SD, Chap. 4.4.5 (Availability Management - Process Activities, Methods and Techniques) SD, Chap. 4.5.5.2 (Continuity Management - Requirements and Strategy)
6.3		Requirements shall include access rights and response times as well as end to end availability of system components.	X			BIP 0036	Chap. 3		H H H H	SS, Chap. 5.5 (Demand Management) SD, Chap. 3.3 (Identifying Service Requirements) SD, Chap. 3.4 (Identifying and Documenting Business Requirements and Drivers) SD, Chap. 4.4 (Availability Management)
6.3		Availability and service continuity plans shall be developed and reviewed at least annually to ensure that requirements are met as agreed in all circumstances from normal through to a major loss of service.	X			BIP 0036	Chap. 3	R	H H H H	SD, Chap. 4.4 (Availability Management) SD, Chap. 4.5 (Continuity Management) SD, Chap. 4.5.5.3 (Continuity Management - Stage 3 Implementation) CSI, Chap. 3.6 (The Deming Cycle) CSI, Chap. 4.1 (The 7-Step Improvement Process)
6.3		These plans shall be maintained to ensure that they reflect agreed changes required by the business.	X			BIP 0036	Chap. 3	R R	H H H H	SD, Chap. 4.4 (Availability Management) SD, Chap. 4.5 (Continuity Management) SD, Chap. 4.5.5.3 (Continuity Management - Stage 3 Implementation) SD, Chap. 4.5.6 (Continuity Management - Triggers, Input and Output, and interprocess interfaces) ST, Chap. 4.2 (Change Management)

ISO/IEC 20000 Controls			Audit related				Advisory related			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference		Conformity reference		Implementation reference			
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	Reference to ITIL V3 Manuals
6.3		The availability and service continuity plans shall be re-tested at every major change to the business environment.	X		R	BIP 0036	Chap. 3	R	H H H	SD, Chap. 4.4 (Availability Management) SD, Chap. 4.5 (Continuity Management) SD, Chap. 4.5.5.3 (Continuity Management - Stage 3 Implementation) SD, Chap. 4.5.6 (Continuity Management - Triggers, Input and Output, and interprocess interfaces) ST, Chap. 4.2 (Change Management)
6.3		The change management process shall assess the impact of any change on the availability and service continuity plan.	X		R	BIP 0036	Chap. 3	R R		SD, Chap. 4.5.6 (Continuity Management - Triggers, Input and Output, and interprocess interfaces) ST, Chap. 4.2.6 (Change Management - Process Activities, Methods and Techniques)
6.3		Availability shall be measured and recorded. Unplanned non-availability shall be investigated and appropriate actions taken.	X		R	BIP 0036	Chap. 3	R	H H	SD, Chap. 4.4 (Availability Management) CSI, Chap. 4.2 (Service Reporting) CSI, Chap. 4.3. (Service Measurement)
6.3		Availability shall be measured and recorded. Unplanned non-availability shall be investigated and appropriate actions taken. NOTE: Where possible, potential issues should be predicted and preventive action taken.	X	X		BIP 0036	Chap. 3	R	H	SD, Chap. 4.4 (Availability Management) SO, Chap.4.4 (Problem Management)
6.3		Service continuity plans, contact lists and the configuration management database shall be available when normal office access is prevented.	X		R	BIP 0036	Chap. 3	R R R		SD, Chap. 4.5 (Continuity Management) SD, Chap. 4.5.6 (Continuity Management - Triggers, Input and Output, and interprocess interfaces) ST, Chap. 4.3.6 (Configuration Management - Triggers, Input and Output, and interprocess interfaces)

ISO/IEC 20000 Controls			Audit related				Advisory related			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference		Implementation reference		Reference to ITIL V3 Manuals
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	
6.3		The service continuity plan shall include the return to normal working.	X			BIP 0036	Chap. 3	R		SD, Chap. 4.5 (Continuity Management)
6.3		The service continuity plan shall be tested in accordance with business needs.	X		R	BIP 0036	Chap. 3	R		SD, Chap. 4.5 (Continuity Management)
6.3		All continuity tests shall be recorded and test failures shall be formulated into action plans.	X			BIP 0036	Chap. 3	R		SD, Chap. 4.5 (Continuity Management)
6.4 Budgeting and accounting for IT										
		Objective: To budget and account for the cost of service provision.								
6.4		There shall be clear policies and processes for:	X			BIP 0034	All		H	SD, Appendix C (Process Documentation Templates)
6.4	a)	Budgeting, and accounting for all components including IT assets, shared resources, overheads, externally supplied service, people, insurance and licences.	X		R	BIP 0034	All	R		SS, Chap. 5.1 (Financial Management)
6.4	b)	Apportioning indirect costs and allocating direct costs to services.	X			BIP 0034	All	R		SS, Chap. 5.1 (Financial Management)

ISO/IEC 20000 Controls			Audit related				Advisory related			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference		Implementation reference		Reference to ITIL V3 Manuals
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	
6.4	c)	Effective financial control and authorization.	X			BIP 0034	All	R		SS, Chap. 5.1 (Financial Management)
6.4		Costs shall be budgeted in sufficient detail to enable effective financial control and decision making.	X			BIP 0034	All	R		SS, Chap. 5.1 (Financial Management)
6.4		The service provider shall monitor and report costs against the budget, review the financial forecasts and manage costs accordingly.	X		R	BIP 0034	All	R		SS, Chap. 5.1 (Financial Management)
6.4		Changes to services shall be costed and approved through the change management process.	X					R	H	SS, Chap. 5.1 (Financial Management) ST, Chap. 4.2 (Change Management)
6.5 Capacity management								R		SD, Chap. 4.3
		Objective: To ensure that the service provider has, at all times, sufficient capacity to meet the current and future agreed demands of the customer's business needs.								
6.5		Capacity management shall produce and maintain a capacity plan.	X			BIP 0037	All		H H H H	SO, Chap. 4.6.4.8 SD, Appendix J The Typical Contents of a Capacity Plan SD, Chap.4.3.4 SD, Chap.6.4.9 Capacity Manager; SO, Chap.4.6.4.8 Capacity Planning

ISO/IEC 20000 Controls			Audit related				Advisory related			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference		Implementation reference		Reference to ITIL V3 Manuals
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	
6.5		Capacity management shall address the business needs and include:	X			BIP 0037	All	R	H H H	SD, Chap.4.3.3 Value to the Business SD, Chap.4.3.4.1 Business Capacity Management SD, Chap.4.3.5.1 Business Capacity Management SD, Chap.4.3.5.2 Service Capacity Management
6.5	a)	Current and predicted capacity and performance requirements.	X			BIP 0037	All	R	H	SD, Chap.4.3.5.1 Business Capacity Management SD, Chap.4.3.5.2 Service Capacity Management
6.5	b)	Identified time-scales, thresholds and costs for service upgrades.	X			BIP 0037	All		H H H	SD, Chap. 4.3.5.2 SD, Chap.4.3.5.4 The underpinning activities of Capacity mgmt SD, Appendix J:3, 8, 10 The Typical Contents of a Capacity Plan
6.5	c)	Evaluation of effects of anticipated service upgrades, requests for change, new technologies and techniques on capacity.	X			BIP 0037	All		H H H H H H H	SD, Chap.4.3.5.1 Business Capacity Management SD, Chap.4.3.2 Scope SD, Chap.4.3.5.4 Exploitation of New Technology SD, Chap.4.3.7 Key Performance indicators ST, Chap.4.2.4.2 Design and Planning Considerations ST, Chap.4.2.6.2 esp. Table 4.4 Create and Record Requests for Change ST, Chap.4.2.6.4 Assess and Evaluate the change SD, Chap.6.4.9 Capacity Manager
6.5	d)	Predicted impact of external changes, e.g. legislative.	X			BIP 0037	All	R	H H H H	SD, Chap.4.3.2 Scope ST, Chap.4.2.4.2 Design and Planning Considerations ST, Chap.4.2.6.2 esp. Table 4.4 Create and Record Requests for Change ST, Chap.4.2.6.4 Assess and Evaluate the change ST, Chap. 4.2.7.4

ISO/IEC 20000 Controls			Audit related				Advisory related			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference		Implementation reference		Reference to ITIL V3 Manuals
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	
6.5	e)	Data and processes to enable predictive analysis.	X			BIP 0037	All		H H H H	SD, Fig. 4.12 SD, Chap.4.3.5.4 Utilization Monitoring Processes: SD, Chap.4.3.5.7 Modelling and Trending SD, Fig. 4.8 SD, Fig. 4.9
6.5		Methods, procedures and techniques shall be identified to monitor service capacity, tune service performance and provide adequate capacity.	X		R				H H H H	SD,, Chap. 4.3.5.3 SD, Chap.4.3.5.4 Utilization Monitoring SD, Fig. 4.12 SD, Chap.4.3.5.4 Tuning and Optimization Activities; Tuning SD, Chap.4.3.5.6 Demand Management
6.6 Information security management								R		SD, Chap. 4.6
		Objective: To manage information security effectively within all service activities.								
6.6		Management with appropriate authority shall approve an information security policy that shall be communicated to all relevant personnel and customers where appropriate.	X			BIP 0070	All		H H H	SD, Chap. 4.6.4 SD, Chap.4.6.4.2 The Information Security Policy SD, Chap.6.4.10 Security Manager
6.6		Appropriate security controls shall operate to:				BIP 0070	All			
6.6	a)	Implement the requirements of the information security policy.	X			BIP 0070	All		H H H H	SD, Chap.4.6.4.1 Security Framework SD, Chap. 4.6.4.2 SD, Chap.4.6.4.3 The ISMS SD, Chap.4.6.5.1 Security Controls

ISO/IEC 20000 Controls			Audit related				Advisory related			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference		Implementation reference		Reference to ITIL V3 Manuals
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	
6.6	b)	Manage risks associated with access to the service or systems.	X			BIP 0070	All		H H H H	SD, Chap. 4.6.4.3 SD, Chap.4.6.5.1 Security Controls especially Preventive SD, Chap.4.6.4.2 The Information Security Policy SO Chap.4.5 Access Management
6.6		Security controls shall be documented. The documentation shall describe the risks to which the controls relate, and the manner of operation and maintenance of the controls.	X			BIP 0070	All		H H	SD, Chap.4.6.4.3 The ISMS SD, Chap. 4.6.5.1
6.6		The documentation shall describe the risks to which the controls relate, and the manner of operation and maintenance of the controls.	X			BIP 0070	All		H	SD, Chap.4.6.4.3 The ISMS
6.6		The impact of changes on controls shall be assessed before changes are implemented.	X			BIP 0070	All		H H H H	ST, Chap. 4.2.7.4 SD, Chap.4.6.6 SD, Chap.4.6.6.1 SD, Chap.6.4.10 Security Manager (responsible) ST, Chap.4.2.6.8 CAB
6.6		Arrangements that involve external organizations having access to information systems and services shall be based on a formal agreement that defines all necessary security requirements.	X			BIP 0070	All		H H H H	SD, Chap. 4.6.6.1 SD, Chap. 4.6.6.2 SD, Chap.4.7.5.1 SO, Chap.4.5.7.1
6.6		Security incidents shall be reported and recorded in line with the incident management procedure as soon as possible.	X		R	BIP 0070	All	R	H	SD, Chap.4.6.5.2 Management of security breaches and incidents SO, Chap.4.2.4.2 Incident Models

ISO/IEC 20000 Controls			Audit related				Advisory related			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference		Conformity reference		Implementation reference			
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	Reference to ITIL V3 Manuals
6.6		Procedures shall be in place to ensure that all security incidents are investigated, and management action taken.	X		R	BIP 0070	All	R	H	SD, Chap. 4.6.5.1 SD, Chap.4.6.5.2 Management of security breaches and incidents
6.6		Mechanisms shall be in place to enable the types, volumes and impacts of security incidents and malfunctions to be quantified and monitored.	X		R	BIP 0070	All	R		SD, Chap.4.6.5.2 Management of security breaches and incidents
6.6		Actions for improvements identified during this process shall be recorded and provide input into a plan for improving the service.	X			BIP 0070	All	R		CSI, Chap.5.5 The Deming Cycle
7. Relationship processes										
7.1 General										
7.1		Relationship processes describe the two related aspects of Supplier Management and Business Relationship Management.								
7.2 Business relationship management										
		Objective: To establish and maintain a good relationship between the service provider and the customer based on understanding the customer and their business drivers.								
7.2		The service provider shall identify and document the stakeholders and customers of the services.	X			BIP 0033	Chap. 5	R		SS, Chap. 4.1 (Define the Market)

ISO/IEC 20000 Controls			Audit related				Advisory related			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference		Implementation reference		Reference to ITIL V3 Manuals
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	
7.2		The service provider and customer shall attend a service review to discuss any changes to the service scope, SLA, contract (if present) or the business needs at least annually and shall hold interim meetings at agreed intervals to discuss performance, achievements, issues and action plans.	X			BIP 0033	Chap. 5	R	H	SD, Chap. 4.2 (Service Level Management) SD, Chap. 4.2.6 (Service Level Management - Triggers, Input and Output, and Interfaces) CSI, Chap. 3.6 (The Deming Cycle) CSI, Chap. 4.1 (The 7-Step Improvement Process)
7.2		These meetings shall be documented.	X			BIP 0033	Chap. 5	R	H	SD, Chap. 4.2 (Service Level Management) CSI, Chap. 3.6 (The Deming Cycle) CSI, Chap. 4.1 (The 7-Step Improvement Process)
7.2		Other stakeholders in the service may also be invited to the meetings.	X			BIP 0033	Chap. 5	R	H	SD, Chap. 4.2 (Service Level Management) CSI, Chap. 3.6 (The Deming Cycle) CSI, Chap. 4.1 (The 7-Step Improvement Process)
7.2		Changes to the contract(s), if present, and SLA(s) shall follow from these meetings as appropriate. These changes shall be subject to the change management process.	X			BIP 0033	Chap. 5	R	H	SD, Chap. 4.2 (Service Level Management) SD, Chap. 4.2.6 (Service Level Management - Triggers, Input and Output, and Interfaces) ST, Chap. 4.2 (Change Management)
7.2		The service provider shall remain aware of business needs and major changes in order to prepare to respond to these needs.	X			BIP 0033	Chap. 5	R	R	SS, Chap. 5.5 (Demand Management) SD, Chap. 3.3 (Identifying Service Requirements) SD, Chap. 3.4 (Identifying and Documenting Business Requirements and Drivers) SD, Chap. 4.2.6 (Service Level Management - Triggers, Input and Output, and Interfaces)
7.2		There shall be a complaints process.	X			BIP 0033	Chap. 5	R		SD, Chap. 4.2.5.10 (Service Level Management - Complaints and Compliments)

ISO/IEC 20000 Controls			Audit related				Advisory related			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference		Implementation reference		Reference to ITIL V3 Manuals
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	
7.2		The definition of a formal service complaint shall be agreed with the customer.	X			BIP 0033	Chap. 5	R		SD, Chap. 4.2.5.10 (Service Level Management - Complaints and Compliments)
7.2		All formal service complaints shall be recorded by the service provider, investigated, acted upon, reported and formally closed.	X			BIP 0033	Chap. 5	R R		SD, Chap. 4.2.5.10 (Service Level Management - Complaints and Compliments) CSI, Chap. 4.2 (Service Reporting)
7.2		Where a complaint is not resolved through the normal channels, escalation shall be available to the customer.	X			BIP 0033	Chap. 5	R		SD, Chap. 4.2.5.10 (Service Level Management - Complaints and Compliments)
7.2		The service provider shall have a named individual or individuals who are responsible for managing customer satisfaction and the whole business relationship process.	X			BIP 0033	Chap. 5		H	SD, Chap. 6.4.6 (Service Level Manager)
7.2		A process shall exist for obtaining and acting upon feedback from regular customer satisfaction measurements.	X			BIP 0033	Chap. 5	R	H H	SD, Chap. 4.2 (Service Level Management) CSI, Chap. 3.6 (The Deming Cycle) CSI, Chap. 4.1 (The 7-Step Improvement Process)
7.2		Actions for improvement identified during this process shall be recorded and input into a plan for improving the service.	X			BIP 0033	Chap. 5	R	H H H	SD, Chap. 4.2 (Service Level Management) CSI, Chap. 3.6 (The Deming Cycle) CSI, Chap. 4.1 (The 7-Step Improvement Process) CSI, Chap. 4.2 (Service Reporting)
7.3	Supplier management									
		Objective: To manage suppliers to ensure the provision of seamless, quality services.								

ISO/IEC 20000 Controls			Audit related				Advisory related			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference		Conformity reference		Implementation reference			
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	Reference to ITIL V3 Manuals
7.3		The service provider shall have documented supplier management processes and shall name a contract manager responsible for each supplier.	X			BIP 0033	Chap. 6	R R		SD, Chap. 4.7 (Supplier Management) SD, Appendix C (Process Documentation Templates)
7.3		The requirements, scope, level of service and communication processes to be provided by the supplier(s) shall be documented in SLAs or other documents and agreed by all parties.	X			BIP 0033	Chap. 6	R	H	SD, Chap. 4.2 (Service Level Management) SD, Chap. 4.7 (Supplier Management)
7.3		SLAs with the suppliers shall be aligned with the SLA(s) with the business.	X			BIP 0033	Chap. 6	R	H	SD, Chap. 4.2 (Service Level Management) SD, Chap. 4.7 (Supplier Management)
7.3		The interfaces between processes used by each party shall be documented and agreed.	X		R	BIP 0033	Chap. 6	R		SD, Chap. 4.7 (Supplier Management)
7.3		All roles and relationships between lead and subcontracted suppliers shall be clearly documented.	X			BIP 0033	Chap. 6	R		SD, Chap. 4.7 (Supplier Management)
7.3		Lead suppliers shall be able to demonstrate processes to ensure that subcontracted suppliers meet contractual requirements.	X		R	BIP 0033	Chap. 6	R R		SD, Chap. 4.7 (Supplier Management) SD, Appendix C (Process Documentation Templates)
7.3		A process shall be in place for a major review of the contract or formal agreement at least annually to ensure that business needs and contractual obligations are still being met.	X			BIP 0033	Chap. 6	R		SD, Chap. 4.7 (Supplier Management)

ISO/IEC 20000 Controls			Audit related				Advisory related			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference		Implementation reference		Reference to ITIL V3 Manuals
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	
7.3		Changes to the contract(s), if present, and SLA(s) shall follow from these reviews as appropriate or at other times as required. Any changes shall be subject to the change management process.	X		R	BIP 0033	Chap. 6	R	H	SD, Chap. 4.7 (Supplier Management) ST, Chap. 4.2 (Change Management)
7.3		A process shall exist to deal with contractual disputes.	X			BIP 0033	Chap. 6	R		SD, Chap. 4.7 (Supplier Management)
7.3		A process shall be in place to deal with the expected end of service, early end of the service or transfer of service to another party.	X			BIP 0033	Chap. 6	R		SD, Chap. 4.7 (Supplier Management)
7.3		Performance against service level targets shall be monitored and reviewed.	X		R	BIP 0033	Chap. 6	R R	H	SD, Chap. 4.7 (Supplier Management) CSI, Chap. 4.2 (Service Reporting) CSI, Chap. 4.3. (Service Measurement)
7.3		Actions for improvement identified during this process shall be recorded and input into a plan for improving the service.	X			BIP 0033	Chap. 6	R	H H	SD, Chap. 4.7 (Supplier Management) CSI, Chap. 3.6 (The Deming Cycle) CSI, Chap. 4.1 (The 7-Step Improvement Process)
8. Resolution processes										
8.1 Background										
8.1		Incident and problem management are separate processes, although they are closely linked.				BIP 0036	Chap. 5	R		SO, Chap. 4

ISO/IEC 20000 Controls			Audit related				Advisory related		
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference		Conformity reference		Implementation reference		
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful
8.2		Incident management					R		SO, Chap. 4.2
		Objective: To restore agreed service to the business as soon as possible or to respond to service requests.							
8.2		All incidents shall be recorded.	X		R	BIP 0036	Chap. 5	R	SO, Chap. 4.2.5.2
8.2		Procedures shall be adopted to manage the impact of incidents.	X			BIP 0036	Chap. 5		H SO, Chap. 4.2.5
8.2		Procedures shall define the recording, prioritization, business impact, classification, updating, escalation, resolution and formal closure of all incidents.	X			BIP 0036	Chap. 5		H SO, Chap. 4.2.5.2 H SO, Chap. 4.2.5.3 H SO, Chap. 4.2.5.4
8.2		The customer shall be kept informed of the progress of their reported incident or service request and alerted in advance if their service levels cannot be met and an action agreed.	X			BIP 0036	Chap. 5		H SO Chap.3.6 Communication H SO, Appendix B6 Communication Related to Exceptions
8.2		All staff involved in incident management shall have access to relevant information such as known errors, problem resolutions and the configuration management database (CMDB) .	X		R	BIP 0036	Chap. 5	R	H ST, Chap.3.2.8 Provide systems for knowledge transfer... H ST, Chap.4.3.4.2 Configuration Model H ST, Chap.4.3.4.3 Configuration Mgmt System H ST, Chap.4.7.5.3 Data and information management ST, Chap.4.4.7.2 Known Error Database

ISO/IEC 20000 Controls			Audit related				Advisory related			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference		Implementation reference		Reference to ITIL V3 Manuals
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	
8.2		Major incidents shall be classified and managed according to a process.	X			BIP 0036	Chap. 5		H	SO, Chap. 4.2.4.3
8.3	Problem management							R		SO, Chap. 4.4
		Objective: To restore agreed service to the business as soon as possible or to respond to service requests.								
8.3		All identified problems shall be recorded.	X		R	BIP 0036	Chap. 6	R		SO, Chap. 4.4.5.2
8.3		Procedures shall be adopted to identify, minimize or avoid the impact of incidents and problems.	X			BIP 0036	Chap. 6		H	SO, Chap.4.4.5 in general
8.3		They shall define the recording, classification, updating, escalation, resolution and closure of all problems.	X			BIP 0036	Chap. 6		H H	SO, Chap. 4.4.5.3 SO, Chap.4.4.5 in general
8.3		Preventive action shall be taken to reduce potential problems, e.g. following trend analysis of incident volumes and types.	X			BIP 0036	Chap. 6		H H H H H H H	SD, Chap.4.3.5.4 The Underpinning activities of Capacity mgmt SD, Chap.4.3.5.7 Modelling and Trending SO, Chap. 4.4.5.1 SD, Chap.4.4.5.2 The proactive activities of Availability Mgmt CSI, Chap.5.6.1 Technical Observation CSI, Chap.5.6.2 Trend Analysis CSI, Chap.5.6.4 CSI, pp. 50ff, Step Five - Analyzing the Data

ISO/IEC 20000 Controls			Audit related				Advisory related			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference		Conformity reference		Implementation reference			
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	Reference to ITIL V3 Manuals
8.3		Changes required in order to correct the underlying cause of problems shall be passed to the change management process.	X		R	BIP 0036	Chap. 6	R		SO, Chap. 4.4.5.8
8.3		Problem resolution shall be monitored, reviewed and reported on for effectiveness.	X		R	BIP 0036	Chap. 6		H	SD, Chap. 4.4.8
8.3		Problem management shall be responsible for ensuring up-to-date information on known errors and corrected problems is available to incident management.	X		R	BIP 0036	Chap. 6	R	H H	ST, Chap.3.2.8 Provide systems for knowledge transfer... ST, Chap.4.7.5.3 Data and information management ST, Chap.4.4.7.2 Known Error Database
8.3		Actions for improvement identified during this process shall be recorded and input into a plan for improving the service.	X			BIP 0036	Chap. 6			
9. Control processes										
9.1 Configuration management								R		ST, Chap. 4.3
		Objective: To define and control the components of the service and infrastructure and maintain accurate configuration information.								
9.1		There shall be an integrated approach to change and configuration management planning.	X			BIP 0035	Chap. 2		H H H H	ST, Chap.3.2.3 Adopt a common framework and standards ST, Chap.3.2.7 Establish effective controls and disciplines ST, Chap.4.2.6 Process Activities, methods, techniques ST, Chap.4.2.7.4 Interfaces within Service Mgmt

ISO/IEC 20000 Controls			Audit related				Advisory related			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference		Implementation reference		Reference to ITIL V3 Manuals
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	
9.1		The service provider shall define the interface to financial asset accounting processes.	X		R	BIP 0035	Chap. 2	H H	ST, Chap.4.3.4.3 CMS ST, Chap.4.3.5	
9.1		There shall be a policy on what is defined as a configuration item and its constituent components.	X			BIP 0035	Chap. 2	H	ST, Chap. 4.3.5.3	
9.1		The information to be recorded for each item shall be defined and shall include the relationships and documentation necessary for effective service management.	X			BIP 0035	Chap. 2	H	ST, Chap. 4.3.5.3	
9.1		Configuration management shall provide the mechanisms for identifying, controlling and tracking versions of identifiable components of the service and infrastructure.	X		R	BIP 0035	Chap. 2	H H H H	ST, Chap.4.3.4.3 Configuration Baseline ST, Chap.4.3.4.3 Naming Configuration Items ST, Chap.4.3.4.3 Labelling Configuration Items ST, Chap.4.3.5.4 Records	
9.1		It shall be ensured that the degree of control is sufficient to meet the business needs, risk of failure and service criticality.	X			BIP 0035	Chap. 2	H	ST, Chap. 4.3.5.4	
9.1		Configuration management shall provide information to the change management process on the impact of a requested change on the service and infrastructure configurations.	X		R	BIP 0035	Chap. 2	H H H	ST, Chap.4.3.4.2 ST, Chap.4.3.4.3 CMS ST, Chap.7.3 CMS	

ISO/IEC 20000 Controls			Audit related				Advisory related			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference	Implementation reference		Reference to ITIL V3 Manuals	
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended		Helpful
9.1		Changes to configuration items shall be traceable and auditable where appropriate, e.g. for changes and movements of software and hardware.	X		R	BIP 0035	Chap. 2		H H H H H H H	ST, Chap.4.2.4.1 ST, Chap.4.3.4.1 ST, Chap.4.2.6.2 ST, Chap.4.3.5.2 ST, Chap.4.3.5.3 ST, Chap.4.3.5.6
9.1		Configuration control procedures shall ensure that the integrity of systems, services and service components are maintained.	X		R	BIP 0035	Chap. 2		H H H	ST, Chap.4.3.1 ST, Chap.4.3.4.3 DML and Definitive Spares ST, Chap.4.3.7 Information management
9.1		A baseline of the appropriate configuration items shall be taken before a release to the live environment.	X		R	BIP 0035	Chap. 2		H H H H H	ST, Chap. 4.3.5.4 ST, Chap.4.4.4.1 Release Unit ST, Fig. 2.3 ST, Chap.3.2.10 ST, Chap.4.1.4.2 Release Policy ST, Chap.4.1.5.2
9.1		Master copies of digital configuration items shall be controlled in secure physical or electronic libraries and referenced to the configuration records, e.g. software, testing products, support documents.	X		R	BIP 0035	Chap. 2		H	ST, Chap.4.3.4.3 DML
9.1		All configuration items shall be uniquely identifiable and recorded in a CMDB to which update access shall be strictly controlled .	X		R	BIP 0035	Chap. 2		H H H H	ST, Chap.4.3.4.3 Naming Configuration Items ST, Chap.4.3.4.3 Labeling Configuration Items ST, Chap.3.2.2 ST, Chap.6.3.2.3 SACM Roles
9.1		The CMDB shall be actively managed and verified to ensure its reliability and accuracy.	X		R	BIP 0035	Chap. 2	R		ST, Chap.4.3.5.6 Verification and audit

ISO/IEC 20000 Controls			Audit related				Advisory related			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference		Implementation reference		
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	Reference to ITIL V3 Manuals
9.1		The status of configuration items, their versions, location, related changes and problems and associated documentation shall be visible to those who require it.	X		R	BIP 0035	Chap. 2		H H	ST, Chap.4.3.6.1 Process relationships ST, Chap.4.3.4.3
9.1		Configuration audit procedures shall include recording deficiencies, initiating corrective actions and reporting on the outcome.	X			BIP 0035	Chap. 2	R		ST, Chap. 4.3.5.6
9.2 Change management								R		ST, Chap. 4.2
		Objective: To ensure all changes are assessed, approved, implemented and reviewed in a controlled manner.								
9.2		Service and infrastructure changes shall have a clearly defined and documented scope.	X			BIP 0035	Chap. 3	R		ST, Chap. 4.2.2
9.2		All requests for change shall be recorded and classified, e.g. urgent, emergency, major, minor. Requests for changes shall be assessed for their risk, impact and business benefit.	X		R	BIP 0035	Chap. 3	R	H	ST, Chap. 4.2.6.2 ST, Chap. 4.2.6.4
9.2		The change management process shall include the manner in which the change shall be reversed or remedied if unsuccessful.	X			BIP 0035	Chap. 3		H H	ST, Chap. 4.2.5 ST Chap. 4.2.5

ISO/IEC 20000 Controls			Audit related				Advisory related			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference		Implementation reference		Reference to ITIL V3 Manuals
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	
9.2		Changes shall be approved and then checked, and shall be implemented in a controlled manner.	X		R	BIP 0035	Chap. 3	R		ST, Chap. 4.2.6.6
9.2		All changes shall be reviewed for success and any actions taken after implementation.	X		R	BIP 0035	Chap. 3	R		ST, Chap. 4.2.6.7
9.2		There shall be policies and procedures to control the authorization and implementation of emergency changes.	X			BIP 0035	Chap. 3	R		ST, Chap. 4.2.6.9
9.2		The scheduled implementation dates of changes shall be used as the basis for change and release scheduling.	X			BIP 0035	Chap. 3		H	ST, Chap. 4.2.6.6
9.2		A schedule that contains details of all the changes approved for implementation and their proposed implementation dates shall be maintained and communicated to relevant parties.	X			BIP 0035	Chap. 3		H	ST, Chap. 4.2.6.6
9.2		Change records shall be analysed regularly to detect increasing levels of changes, frequently recurring types, emerging trends and other relevant information.	X		R	BIP 0035	Chap. 3		H	ST, Chap. 4.2.8
9.2		The results and conclusions drawn from change analysis shall be recorded.	X			BIP 0035	Chap. 3		H	ST, Chap. 4.2.6.7

ISO/IEC 20000 Controls			Audit related				Advisory related			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference	Implementation reference			
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	Reference to ITIL V3 Manuals
9.2		Actions for improvement identified from change management shall be recorded and input into a plan for improving the service.	X			BIP 0035	Chap. 3			
10. Release processes										
10.1 Release management process										
		Objective: To deliver, distribute and track one or more changes in a release into the live environment.								
		NOTE The release management process should be integrated with the configuration and change management processes.								
10.1		The release policy stating the frequency and type of releases shall be documented and agreed.	X			BIP 0035	Chap. 4		H H H	ST, 3.2.9 ST, Chap. 4.1.4.2 ST, Chap. 4.4.4.1
10.1		The service provider shall plan with the business the release of services, systems, software and hardware.	X			BIP 0035	Chap. 4		H	ST, Chap. 4.4.5.1
10.1		Plans on how to roll out the release shall be agreed and authorized by all relevant parties, e.g. customers, users, operations and support staff.	X			BIP 0035	Chap. 4		H H H	ST, 4.4.1 ST, 4.4.4.2 ST, Chap. 4.4.5.1

ISO/IEC 20000 Controls			Audit related				Advisory related		
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference	Implementation reference		
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful
10.1		The process shall include the manner in which the release shall be reversed or remedied if unsuccessful.	X			BIP 0035	Chap. 4	H H	ST, 4.4.5.1 ST, 4.3.4.3 Configuration Baseline
10.1		Plans shall record the release dates and deliverables and refer to related change requests, known errors and problems.	X			BIP 0035	Chap. 4	H	ST, Chap. 4.4.5.1
10.1		The release management process shall pass suitable information to the incident management process.	X		R	BIP 0035	Chap. 4	H H H H	ST, 4.4.5.4 ST, 4.4.5.4 ST, 4.4.5.5 CSI, 4.1
10.1		Requests for change shall be assessed for their impact on release plans.	X		R	BIP 0035	Chap. 4	H	ST, 4.2.4.2 Design and Planning Considerations
10.1		Release management procedures shall include the updating and changing of configuration information and change records.	X		R	BIP 0035	Chap. 4	H H H H	ST, 4.3.5.3 Relationships ST, 6.3.2.3 The configuration analyst ST, 4.4.5.1 Release and Deployment Plans CSI, 7.1.2 Systems and Network Management CSI, 7.1.10 Software version control/SCM
10.1		Emergency releases shall be managed according to a defined process that interfaces to the emergency change management process.	X			BIP 0035	Chap. 4	H H	ST, 4.1.4.2 Release Policy ST, 4.4.5.5
10.1		A controlled acceptance test environment shall be established to build and test all releases prior to distribution.	X	X	R	BIP 0035	Chap. 4	R R R	ST, 4.4.5.1 ST, 4.4.5.4 ST, 4.5 Service Validation and Testing

ISO/IEC 20000 Controls			Audit related				Advisory related			
Chapter in ISO 20000-1:2005	Paragraph	Controls in ISO/IEC 20000-1:2005	Audit reference			Conformity reference		Implementation reference		
			Organizational control	Technical control	Visual or System inspection	BIP Reference	BIP Chapter	Recommended	Helpful	Reference to ITIL V3 Manuals
10.1		Release and distribution shall be designed and implemented so that the integrity of hardware and software is maintained during installation, handling, packaging and delivery.	X			BIP 0035	Chap. 4		H	SO, Chap. 4.6.3 Release and Deployment Management
10.1		Success and failure of releases shall be measured.	X			BIP 0035	Chap. 4			
10.1		Measurements shall include incidents related to a release in the period following a release.	X		R	BIP 0035	Chap. 4		H	ST, Chap. 4.4.8.1
10.1		Analysis shall include assessment of the impact on the business, IT operations and support staff resources, and shall provide input to a plan for improving the service.	X		R	BIP 0035	Chap. 4		H H H	ST, Chap. 4.4.5.9 ST, Chap. 4.4.5.10 CSI 6.1.4 Service Owner