



Guide: Using FitSM to achieve compliance with ISO/IEC 20000-1

Version 1.0

This document is a guide to achieving compliance against the International Standard ISO/IEC 20000-1:2011 for a Service Management System (SMS) by using the FitSM approach. It provides a mapping between the requirements from FitSM-1 (Edition 2015, Version 2.0) and ISO/IEC 20000-1:2011 (Second Edition, released in 2011).

Comments & usage guidance

- *This guide may be useful for IT service providers seeking compliance against the requirements of ISO/IEC 20000-1 for their Service Management System (SMS), for example as part of an initiative aiming at a certification of the SMS by an external certification body.*
- *In the tables provided by this guide, all requirements from FitSM-1 are first mapped with the corresponding clauses in ISO/IEC 20000-1. Following this, it is summarized, ...*
 - *which additional requirements, uncovered by FitSM-1, are specified by ISO/IEC 20000-1. For example, for certain requirements in ISO/IEC 20000-1 no analogous requirements are specified by FitSM-1.*
 - *how ISO/IEC 20000-1 extends the requirements covered by FitSM-1. For example, if a requirement is covered by both FitSM-1 and ISO/IEC 20000-1, it is often likely that ISO/IEC 20000-1 is more demanding in the way that the standard provides more details on the intended implementation.*



Document control

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1. Introduction

Both FitSM-1 and ISO/IEC 20000-1 specify requirements for a service management system (SMS). Since FitSM-1 follows a more lightweight approach compared to ISO/IEC 20000-1, the requirements of FitSM-1 can be regarded as an adapted subset of the requirements covered by ISO/IEC 20000-1. The following sections and tables show, how the FitSM-1 requirements map with the ISO/IEC 20000-1 requirements, and which additional or extended requirements from ISO/IEC 20000-1 (not explicitly covered by FitSM-1) must be fulfilled, if for example an IT service provider strives for a certification of their SMS against ISO/IEC 20000-1, but wants to use FitSM-1 as their core ITSM framework / standard.

2. FitSM-1 & ISO/IEC 20000-1 Mapping

2.1 General requirements

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GR1 Top Management Commitment & Responsibility	<p>GR1.1 Top management of the organisation(s) involved in the delivery of services shall show evidence that they are committed to planning, implementing, operating, monitoring, reviewing, and improving the service management system (SMS) and services. They shall:</p> <ul style="list-style-type: none"> Assign one individual to be accountable for the overall SMS with sufficient authority to exercise this role Define and communicate goals 	<p>4.1 Management responsibility</p> <p>4.1.1 Management commitment</p> <p>4.1.2 Service management policy</p> <p>4.1.3 Authority, responsibility and</p>	<p>Ensure that the importance of fulfilling service requirements, statutory and regulatory requirements and contractual obligations is communicated.</p> <p>Ensure that risks to services are assessed and managed.</p>	<p><u>Extended requirements in the context of GR1.1:</u></p> <p>Inputs to be considered for a management review:</p> <ul style="list-style-type: none"> customer feedback service and process performance and conformity current and future resource levels current and future human and technical



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	<ul style="list-style-type: none"> • Define a general service management policy • Conduct management reviews at planned intervals <p>GR1.2 The service management policy shall include:</p> <ul style="list-style-type: none"> • A commitment to fulfil customer service requirements • A commitment to a service-oriented approach • A commitment to a process approach • A commitment to continual improvement • Overall service management goals 	<p>communication</p> <p>4.1.4 Management representative</p> <p>4.5.4.3 Management review</p>		<p>capabilities</p> <ul style="list-style-type: none"> • risks • results and follow-up actions from audits • results and follow-up actions from previous management reviews • status of preventive and corrective actions • changes that could affect the SMS and the services • opportunities for improvement <p><i>Extended requirements in the context of GR1.2:</i></p> <p>Ensure that the service management policy provides a framework for establishing and reviewing service management objectives</p>
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		of processes operated by other parties	them, which are operated by other parties (i.e. internal groups, customers or suppliers) are identified . Ensure that governance of these processes is demonstrated by ... <ul style="list-style-type: none"> • demonstrating accountability for the processes and authority to require adherence to the processes, • controlling the definition of the processes, and interfaces to other processes, • determining process performance and compliance with process requirements, • controlling the planning and prioritizing of process improvements. 	
GR2 Documentation	GR2.1 The overall SMS shall be documented to support effective planning. This documentation shall include:	4.3 Documentation management 4.3.1 Establish	---	<u>Extended requirements in the context of GR2.2:</u> Ensure that all procedures required by ISO/IEC 20000-1 are

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	<ul style="list-style-type: none"> • Service management scope statement (see GR3) • Service management policy (see GR1) • Service management plan and related plans (see GR4) <p>GR2.2 Documented definitions of all service management processes (see PR1-PR14) shall be created and maintained. Each of these definitions shall at least cover or reference:</p> <ul style="list-style-type: none"> • Description of the goals of the process • Description of the inputs, activities and outputs of the process • Description of process-specific roles and responsibilities • Description of interfaces to other processes • Related process-specific policies as applicable • Related process- and activity- 	<p>and maintain documents</p> <p>4.3.2 Control of documents</p> <p>4.3.3 Control of records</p>		<p>documented. *)</p> <p><i>*) A full list of documented procedures required by ISO/IEC 20000-1 is provided in section 3 of this guide.</i></p> <p><u>Extended requirements in the context of GR2.4:</u></p> <p>Ensure that ...</p> <ul style="list-style-type: none"> • documents of external origin are identified and their distribution controlled, • the unintended use of obsolete documents is prevented and suitable identification to them is applied, if they are retained.



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	<p>specific procedures as required</p> <p>GR2.3 The outputs of all service management processes (see PR1-PR14) shall be documented, and the execution of key activities of these processes recorded.</p> <p>GR2.4 Documentation shall be controlled, addressing the following activities as applicable:</p> <ul style="list-style-type: none"> • Creation and approval • Communication and distribution • Review • Versioning and change tracking 			
GR3 Defining The Scope Of Service Management	GR3.1 The scope of the SMS shall be defined and a scope statement created.	4.5.1 Define scope	---	---
GR4 Planning Service Management (PLAN)	<p>GR4.1 A service management plan shall be created and maintained.</p> <p>GR4.2 The service management plan shall at minimum include or reference:</p>	<p>4.1.1 Management commitment b)</p> <p>4.5.2 Plan the</p>	<p>Determine and provide the human, technical, information and financial resources needed to:</p> <ul style="list-style-type: none"> • establish, implement and 	<p><u>Extended requirements in the context of GR4.2:</u></p> <p>Additional elements to be included in or referenced from</p>



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	<ul style="list-style-type: none"> • Goals and timing of implementing the SMS and the related processes • Overall roles and responsibilities • Required training and awareness activities • Required technology (tools) to support the SMS <p>GR4.3 Any plan shall be aligned to other plans and the overall service management plan.</p>	<p>SMS (Plan)</p> <p>4.4.1 Provision of resources</p> <p>4.4.2 Human resources</p>	<p>maintain the SMS and the services, and continually improve their effectiveness</p> <ul style="list-style-type: none"> • enhance customer satisfaction 	<p>the service management plan:</p> <ul style="list-style-type: none"> • service requirements • known limitations which can impact the SMS • policies, standards, statutory and regulatory requirements and contractual obligations • human, technical, information and financial resources necessary to achieve the service management objectives • approach to be taken for working with other parties involved in the design and transition of new or changed services • approach to be taken for the interfaces between service management processes and their integration



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				<p>with the other components of the SMS</p> <ul style="list-style-type: none"> • approach to be taken for the management of risks and the criteria for accepting risks • how the effectiveness of the SMS and the services will be measured, audited, reported and improved
GR5 Implementing Service Management (DO)	<p>GR5.1 The service management plan shall be implemented.</p> <p>GR5.2 Within the scope of the SMS, the defined service management processes shall be followed in practice, and their application, together with the adherence to related policies and procedures, shall be enforced.</p>	4.5.3 Implement and operate the SMS (Do)	---	---
GR6 Monitoring And Reviewing Service	GR6.1 The effectiveness and performance of the SMS and its service management processes shall be	4.5.4 Monitor and review the	Ensure that an audit programme is planned, taking into consideration the status and importance of the	<u>Extended requirements in the context of GR6.2:</u>



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Management (CHECK)	<p>measured and evaluated based on suitable key performance indicators in support of defined or agreed targets.</p> <p>GR6.2 Assessments and audits of the SMS shall be conducted to evaluate the level of maturity and compliance.</p>	<p>SMS (Check)</p> <p>4.5.4.1 General</p> <p>4.5.4.2 Internal audit</p>	<p>processes and areas to be audited, as well as the results of previous audits. Ensure that audit criteria, scope, frequency and methods are documented.</p>	<p>Ensure that the selection of auditors and conduct of audits ensures objectivity and impartiality, and that auditors do not audit their own work.</p> <p>Ensure that nonconformities are communicated, prioritized and responsibility allocated for follow-up actions.</p>
GR7 Continually Improving Service Management (ACT)	<p>GR7.1 Nonconformities and deviations from targets shall be identified and corrective actions shall be taken to prevent them from recurring.</p> <p>GR7.2 Improvements shall be planned and implemented according to the Continual Service Improvement Management process (see PR14).</p>	<p>4.5.5 Maintain and improve the SMS (Act)</p> <p>4.5.5.1 General</p>	<p>Ensure that a policy on continual improvement of the SMS and the services is in place, including evaluation criteria for opportunities for improvement.</p>	---

2.2 Process-specific requirements

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PR1 Service Portfolio Management (SPM)	<p>PR1.1 A service portfolio shall be maintained. All services shall be specified as part of the service portfolio.</p> <p>PR1.2 Design and transition of new or changed services shall be planned.</p> <p>PR1.3 Plans for the design and transition of new or changed services shall consider timescales, responsibilities, new or changed technology, communication and service acceptance criteria.</p> <p>PR1.4 The organisational structure supporting the delivery of services shall be identified, including a potential federation structure as well as contact points for all parties</p>	<p>5 Design and transition of new or changed services</p> <p>5.1 General</p> <p>5.2 Plan new or changed services</p> <p>5.3 Design and development of new or changed services</p> <p>5.4 Transition of new or changed services</p>	<p>Ensure that the changes to services with the potential to have a major impact on services or the customer are determined by the change management policy agreed as part of the change management process.</p> <p>Following the completion of the transition activities, report to interested parties on the outcomes achieved against the expected outcomes.</p>	<p><i>Extended requirements in the context of PR1.1/PR1.2:</i></p> <p>Ensure that the service requirements for new or changed services are identified.</p> <p>Ensure that planning for new or changed services contains or includes a reference to at least:</p> <ul style="list-style-type: none"> • activities to be performed by the service provider and other parties including activities across interfaces from the service provider to other parties • human, technical, information and financial resources • identification, assessment and management of risks • dependencies on other services • testing required for the new or changed services • expected outcomes from delivering the new or changed services,



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	involved.			<p>expressed in measurable terms</p> <p><u>Extended requirements in the context of PR1.4:</u></p> <p>Ensure that other parties who will contribute to the provision of service components for new or changed services are identified. Ensure that their ability to fulfil service requirements is evaluated, the results of this evaluation recorded and necessary actions taken.</p>
PR2 Service Level Management (SLM)	<p>PR2.1 A service catalogue shall be maintained.</p> <p>PR2.2 For all services delivered to customers, SLAs shall be in place.</p> <p>PR2.3 SLAs shall be reviewed at planned intervals.</p> <p>PR2.4 Service performance shall be evaluated against service targets defined in</p>	6.1 Service level management	Ensure that changes to documented service requirements , the service catalogue , SLAs and other documented agreements are controlled by the change management process.	<p><u>Extended requirements in the context of PR2.1:</u></p> <p>The catalogue of services shall include the dependencies between services and service components.</p>



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	<p>SLAs.</p> <p>PR2.5 For supporting services or service components provided by federation members or groups belonging to the same organisation as the service provider or external suppliers, OLAs and UAs shall be agreed.</p> <p>PR2.6 OLAs and UAs shall be reviewed at planned intervals.</p> <p>PR2.7 Performance of service components shall be evaluated against operational targets defined in OLAs and UAs.</p>			
PR3 Service Reporting Management	PR3.1 Service reports shall be specified and agreed with their recipients.	6.2 Service reporting	Ensure that decisions are made and actions taken based on the findings in service reports. Ensure that agreed actions are communicated to	<p><i>Extended requirements in the context of PR3.3:</i></p> <p>Ensure that service reporting covers:</p>



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(SRM)	<p>PR3.2 The specification of each service report shall include its identity, purpose, audience, frequency, content, format and method of delivery.</p> <p>PR3.3 Service reports shall be produced. Service reporting shall include performance against agreed targets, information about significant events and detected nonconformities.</p>		interested parties.	<ul style="list-style-type: none"> information about major incidents, deployment of new or changed services and the service continuity plan being invoked workload characteristics including volumes and periodic changes in workload trend information information about customer satisfaction and service complaints
PR4 Service Availability & Continuity Management (SACM)	<p>PR4.1 Service availability and continuity requirements shall be identified taking into consideration SLAs.</p> <p>PR4.2 Service availability and continuity plans shall be created and maintained.</p> <p>PR4.3 Service availability and continuity planning</p>	<p>6.3 Service continuity and availability management</p> <p>6.3.1 Service continuity and availability requirements</p> <p>6.3.2 Service</p>	<p>Ensure that changes to the service availability and continuity plans are controlled by the change management process.</p> <p>Ensure that service continuity plans, contact lists and the CMDB are accessible when access to normal service locations is prevented.</p> <p>Ensure that the impact of requests for</p>	<p><i>Extended requirements in the context of PR4.1:</i></p> <p>Ensure that agreed service continuity and availability requirements include:</p> <ul style="list-style-type: none"> access rights to the services service response times end to end availability of services <p><i>Extended requirements in the context of</i></p>



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	<p>shall consider measures to reduce the probability and impact of identified availability and continuity risks.</p> <p>PR4.4 Availability of services and service components shall be monitored.</p>	<p>continuity and availability plans</p> <p>6.3.3 Service continuity and availability monitoring and testing</p>	<p>changes on the service continuity and availability plans is assessed.</p> <p>Ensure that service availability and continuity plans are tested against the availability and continuity requirements, and re-tested after major changes to the service environment.</p>	<p><u>PR4.3:</u></p> <p>Additional elements to be included in or referenced from service continuity plans:</p> <ul style="list-style-type: none"> • procedures to be implemented in the event of a major loss of service, or reference to them • availability targets when the plan is invoked • recovery requirements • approach for the return to normal working conditions
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			<p>licences) used to provide the services, shared resources, overheads, capital and operating expenses, externally supplied services, personnel, facilities</p> <ul style="list-style-type: none"> • apportioning indirect costs and allocating direct costs to services, to provide an overall cost for each service • effective financial control and approval <p>Ensure that costs are budgeted, monitored and reported against the budget.</p> <p>Ensure that information are provided to the change management process to support the costing of requests for changes.</p>	
PR5 Capacity Management (CAPM)	PR5.1 Service capacity and performance requirements shall be identified taking	6.5 Capacity management	Ensure that changes to the capacity plans are controlled by the change management process.	<i>Extended requirements in the context of PR5.3:</i> Additional elements to be included in or



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	<p>into consideration SLAs.</p> <p>PR5.2 Capacity plans shall be created and maintained.</p> <p>PR5.3 Capacity planning shall consider human, technical and financial resources.</p> <p>PR5.4 Performance of services and service components shall be monitored based on monitoring the degree of capacity utilisation and identifying operational warnings and exceptions.</p>			<p>referenced from capacity plans:</p> <ul style="list-style-type: none"> • current and forecast demand for services • expected impact of agreed requirements for availability, service continuity and service levels • time-scales, thresholds and costs for upgrades to service capacity • potential impact of statutory, regulatory, contractual or organizational changes • potential impact of new technologies • procedures to enable predictive analysis
PR6 Information Security Management (ISM)	<p>PR6.1 Information security policies shall be defined.</p> <p>PR6.2 Physical, technical and organizational information security controls shall be</p>	<p>6.6 Information security management</p> <p>6.6.1 Information security policy</p> <p>6.6.2 Information</p>	<p>Ensure that internal information security audits are conducted and that audit results are reviewed to identify opportunities for improvement.</p>	<p><i>Extended requirements in the context of PR6.2:</i></p> <p>Ensure that the approach to information security risk management and the criteria for accepting risks are defined.</p> <p><i>Extended requirements in the context of</i></p>



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	<p>implemented to reduce the probability and impact of identified information security risks.</p> <p>PR6.3 Information security policies and controls shall be reviewed at planned intervals.</p> <p>PR6.4 Information security events and incidents shall be given an appropriate priority and managed accordingly.</p> <p>PR6.5 Access control, including provisioning of access rights, for information-processing systems and services shall be carried out in a consistent manner.</p>	<p>security controls</p> <p>6.6.3 Information security changes and incidents</p>		<p><u>PR6.3:</u> Ensure that the risks to which information security controls relate are described as part of the documentation of these controls.</p> <p>Ensure that information security controls with external organizations that have a need to access, use or manage the service provider's information or services are documented, agreed and implemented.</p>
PR7 Customer Relationship	PR7.1 Service customers	7.1 Business relationship	Ensure that changes to documented service requirements are controlled by	<u>Extended requirements in the context of</u>



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Management (CRM)	<p>shall be identified.</p> <p>PR7.2 For each customer, there shall be a designated contact responsible for managing the customer relationship and customer satisfaction.</p> <p>PR7.3 Communication mechanisms with customers shall be established.</p> <p>PR7.4 Service reviews with the customers shall be conducted at planned intervals.</p> <p>PR7.5 Service complaints from customers shall be managed.</p> <p>PR7.6 Customer satisfaction shall be managed.</p>	management	<p>the change management process.</p> <p>Ensure that changes to the SLAs are coordinated with the service level management process.</p>	<p><u>PR7.5:</u></p> <p>Ensure that the definition of a service complaint is agreed with the customer.</p>
PR8 Supplier Relationship	PR8.1 Suppliers shall be	7.2 Supplier	Ensure that service levels are agreed with suppliers to support and align with	<u>Extended requirements in the context of</u>



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Management (SUPPM)	<p>identified.</p> <p>PR8.2 For each supplier, there shall be a designated contact responsible for managing the relationship with the supplier.</p> <p>PR8.3 Communication mechanisms with suppliers shall be established.</p> <p>PR8.4 Supplier performance shall be monitored.</p>	management	<p>the SLAs between the service provider and the customers.</p> <p>Ensure that roles of, and relationships between, lead and sub-contracted suppliers are documented. Verify that lead suppliers are managing their sub-contracted suppliers to fulfil contractual obligations.</p> <p>Ensure that changes to contracts with suppliers are controlled by the change management process.</p>	<p><u>PR8.4:</u></p> <p>Ensure that the contracts with suppliers reflect current requirements.</p>
PR9 Incident & Service Request Management (ISRM)	<p>PR9.1 All incidents and service requests shall be registered, classified and prioritized in a consistent manner.</p> <p>PR9.2 Prioritization of incidents and service requests shall take into account service targets from SLAs.</p>	8.1 Incident and service request management	---	<p><u>Extended requirements in the context of PR9.2:</u></p> <p>When prioritizing incidents and service requests, ensure that the impact and urgency of the incident or service request are taken into consideration.</p> <p><u>Extended requirements in the context of PR9.7:</u></p> <p>Ensure that top management is informed of</p>



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	<p>PR9.3 Escalation of incidents and service requests shall be carried out in a consistent manner.</p> <p>PR9.4 Closure of incidents and service requests shall be carried out in a consistent manner.</p> <p>PR9.5 Personnel involved in the incident and service request management process shall have access to relevant information including known errors, workarounds, configuration and release information.</p> <p>PR9.6 Users shall be kept informed of the progress of incidents and service requests they have reported.</p> <p>PR9.7 There shall be a definition of major incidents</p>			<p>major incidents, and a designated individual responsible for managing the major incident is appointed. After the agreed service has been restored, ensure that a major incident review is performed to identify opportunities for improvement.</p>



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	and a consistent approach to managing them.			
PR10 Problem Management (PM)	<p>PR10.1 Problems shall be identified and registered based on analysing trends on incidents.</p> <p>PR10.2 Problems shall be investigated to identify actions to resolve them or reduce their impact on the services.</p> <p>PR10.3 If a problem is not permanently resolved, a known error shall be registered together with actions such as effective workarounds and temporary fixes.</p> <p>PR10.4 Up-to-date information on known errors and effective workarounds shall be</p>	8.2 Problem management	---	<p><i>Extended requirements in the context of <u>PR10.2</u>:</i></p> <p>Ensure that problems requiring changes to a CI are resolved by raising a request for change.</p> <p>Ensure that the effectiveness of problem resolution is monitored, reviewed and reported.</p>

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	maintained.			
PR11 Configuration Management (CONFM)	<p>PR11.1 Configuration item (CI) types and relationship types shall be defined.</p> <p>PR11.2 The level of detail of configuration information recorded shall be sufficient to support effective control over CIs.</p> <p>PR11.3 Each CI and its relationships with other CIs shall be recorded in a configuration management database (CMDB).</p> <p>PR11.4 CIs shall be controlled and changes to CIs tracked in the CMDB.</p> <p>PR11.5 The information stored in the CMDB shall be verified at planned intervals.</p> <p>PR11.6 Before a new release</p>	9.1 Configuration management	<p>Ensure that the information from the CMDB are provided to the change management process, to support the assessment of requests for changes.</p> <p>Ensure that master copies of CIs recorded in the CMDB are stored in secure physical or electronic libraries referenced by the configuration records, including at least documentation, licence information, software and images of the hardware configuration.</p> <p>Ensure that there is a defined interface between the configuration management process and a (corporate) financial asset management process.</p>	<p><u>Extended requirements in the context of PR11.1/11.2/11.3:</u></p> <p>Ensure that the information recorded for each CI include at least:</p> <ul style="list-style-type: none"> • description of the CI • relationship(s) between the CI and other CIs • relationship(s) between the CI and service components • status • version • location • associated requests for changes • associated problems / known errors



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	<p>into a live environment, a configuration baseline of the affected CIs shall be taken.</p>			
<p>PR12 Change Management (CHM)</p>	<p>PR12.1 All changes shall be registered and classified in a consistent manner.</p> <p>PR12.2 All changes shall be assessed and approved in a consistent manner.</p> <p>PR12.3 All changes shall be subject to a post implementation review and closed in a consistent manner.</p> <p>PR12.4 There shall be a definition of emergency changes and a consistent approach to managing them.</p> <p>PR12.5 In making decisions</p>	<p>9.2 Change management</p>	<p>Ensure that a change management policy is established that defines:</p> <ul style="list-style-type: none"> • CIs which are under the control of change management • criteria to determine changes with potential to have a major impact on services or the customer <p>Ensure that the removal of a service and transfer of a service from the service provider to the customer or a different party are classified as a change with the potential to have a major impact.</p> <p>Ensure that requests for changes are analysed at planned intervals to detect trends. Ensure that the results and conclusions drawn from the analysis are</p>	<p><i>Extended requirements in the context of PR12.6:</i></p> <p>Ensure that the schedule of change is used as the basis for planning the deployment of releases.</p>



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	<p>on the acceptance of requests for change, the benefits, risks, potential impact to services and customers and technical feasibility shall be taken into consideration.</p> <p>PR12.6 A schedule of changes shall be maintained. It shall contain details of approved changes, and proposed deployment dates, which shall be communicated to interested parties.</p> <p>PR12.7 For changes of high impact or high risk, the steps required to reverse an unsuccessful change or remedy any negative effects shall be planned and tested.</p>		<p>recorded and reviewed to identify opportunities for improvement.</p>	
PR13 Release &	PR13.1 A release policy shall	9.3 Release and	Ensure that the definition of an	<i>Extended requirements in the context of</i>



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Deployment Management (RDM)	<p>be defined.</p> <p>PR13.2 The deployment of new or changed services and service components to the live environment shall be planned with all relevant parties including affected customers.</p> <p>PR13.3 Releases shall be built and tested prior to being deployed.</p> <p>PR13.4 Acceptance criteria for each release shall be agreed with the customers and any other relevant parties. Before deployment the release shall be verified against the agreed acceptance criteria and approved.</p> <p>PR13.5 Deployment preparation shall consider steps to be taken in case of</p>	deployment management	emergency release is agreed with the customer.	<p><u>PR13.1:</u></p> <p>Ensure that the release policy is agreed with customers and states the frequency and types of releases.</p> <p><u>Extended requirements in the context of PR13.2:</u></p> <p>Ensure that release planning is coordinated with the change management process and includes references to the related requests for changes, and problems / known errors which are being closed through the release.</p> <p><u>Extended requirements in the context of PR13.2:</u></p> <p>Ensure that a controlled acceptance test environment is used for the building and testing of releases.</p> <p><u>Extended requirements in the context of PR13.6:</u></p> <p>Ensure that incidents related to a release in the period following deployment are measured. Ensure that analysis includes an</p>



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	<p>unsuccessful deployment to reduce the impact on services and customers.</p> <p>PR13.6 Releases shall be evaluated for success or failure.</p>			<p>assessment of the impact of the release on the customer, and the results and conclusions drawn from the analysis are recorded and reviewed to identify opportunities for improvement.</p>
<p>PR14 Continual Service Improvement Management (CSI)</p>	<p>PR14.1 Opportunities for improvement shall be identified and registered.</p> <p>PR14.2 Opportunities for improvement shall be evaluated and approved in a consistent manner.</p>	<p>4.5.5.2 Management of improvements</p>	<p>---</p>	<p><u>Extended requirements in the context of PR14.1:</u></p> <p>Ensure that opportunities for improvement are prioritized.</p> <p><u>Extended requirements in the context of PR14.1/14.2:</u></p> <p>Ensure that, in managing improvements, the following activities are addressed:</p> <ul style="list-style-type: none"> • setting targets for improvements in quality, value, capability, cost, productivity, resource utilization and risk reduction • ensuring that approved improvements are implemented • revising the service management



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				<p>policies, plans, processes and procedures, where necessary</p> <ul style="list-style-type: none">• measuring implemented improvements against the targets set and, where targets are not achieved, taking necessary actions• reporting on implemented improvements



3. Documented procedures required by ISO/IEC 20000-1

FitSM-1, according to GR2.2, does not require any specific process- or activity-specific procedures. Instead, FitSM-1 leaves it up to the IT service provider to decide, which specific procedures should be documented as part of the SMS to support repeatable, consistent execution of processes and their activities.

In contrast to FitSM-1, ISO/IEC 20000-1 requires a set of specific procedures (including the authorities and responsibilities) to be documented to achieve full compliance with the standard. The following is a list of these procedures, as specified in ISO/IEC 20000-1:2011, together with the number of the section / clause in ISO/IEC 20000-1 where the requirements for the respective procedures are defined:

- Procedure for (general) communication (4.1.3)
- Procedure for the control of documents (4.3.2)
- Procedure for the control of records (4.3.3)
- Procedure for managing audits (i.e. planning and conducting audits, reporting results and maintaining audit records) (4.5.4.2)
- Procedure for managing improvements (i.e. identifying, documenting, evaluating, approving, prioritizing, managing, measuring and reporting of improvements) (4.5.5.1)
- Procedure(s) to be implemented in the event of a major loss of service, as part of a service continuity plan (6.3.2 a)
- Procedure for budgeting and accounting for service components (6.4 a)
- Procedure for apportioning indirect costs and allocating direct costs to services (6.4. b)
- Procedure for financial control and approval (6.4 c)
- Procedure(s) for predictive capacity / performance analysis, as part of a capacity plan (6.5 f)
- Procedure to manage service complaints from the customer (7.1)
- Procedure to manage contractual disputes between the service provider and suppliers (7.2)
- Procedure for incident recording (8.1 a)
- Procedure for incident prioritization (8.1 b)
- Procedure for incident classification (8.1 c)
- Procedure for updating incident records (8.1 d)
- Procedure for incident escalation (8.1 e)
- Procedure for incident resolution (8.1 f)
- Procedure for incident closure (8.1 g)
- Procedure for managing the fulfilment of service requests (8.1)
- Procedure for informing the customer and interested parties and escalating, if service targets cannot be met (8.1)

- Procedure for classifying and managing major incidents (8.1)
- Procedure for problem identification (8.2 a)
- Procedure for problem recording (8.2 b)
- Procedure for problem prioritization (8.2 c)
- Procedure for problem classification (8.2 d)
- Procedure for updating problem records (8.2 e)
- Procedure for problem escalation (8.2 f)
- Procedure for problem resolution (8.2 g)
- Procedure for problem closure (8.2 h)
- Procedure for recording, controlling and tracking versions of Cis (9.1)
- Procedure for recording, classifying, assessing and approving requests for changes (9.2)
- Procedure for managing emergency changes (9.2)
- Procedure for managing emergency releases (9.3)

4. Records required by ISO/IEC 20000-1

FitSM-1, according to GR2.3, requires the execution of key activities to be recorded. However, FitSM-1 leaves it up to the IT service provider to decide which specific activities as part of an SMS are so vital that their execution should be recorded.

In contrast to FitSM-1, ISO/IEC 20000-1 requires a set of specific activities to be recorded and the respective records to be maintained to ensure traceability of the activities, their execution and results. The following is a list of the records to be created and maintained, as specified in ISO/IEC 20000-1:2011, together with the number of the section / clause in ISO/IEC 20000-1 where the requirements for the respective activities and records are defined:

- Records of education, training, skills and experience (4.4.2)
- Records of (the results of) internal audits / audit records (4.5.4.1)
- Records of (the results of) management reviews (4.5.4.1, 4.5.4.3)
- Records of the evaluation of other parties in their ability to fulfil the service requirements (5.2)
- Records of monitoring trends and performance against service targets (6.1)
- Records of monitoring the performance of internal groups or customers providing service components (6.1)
- Records of monitoring service availability (6.2)
- Records of tests of service continuity plans (6.3.3)



- Records of customer service complaints (7.1)
- Records of measuring supplier performance (7.2)
- Incident records (8.1)
- Service request records (8.1)
- Problem / known error records (8.2)
- Configuration records / records of CIs (9.1)
- Change records / records of requests for changes (9.2)
- Records of analyzing requests for changes (9.2)
- Records of analyzing releases for success (9.3)