SEPT Evidence Product Checklist
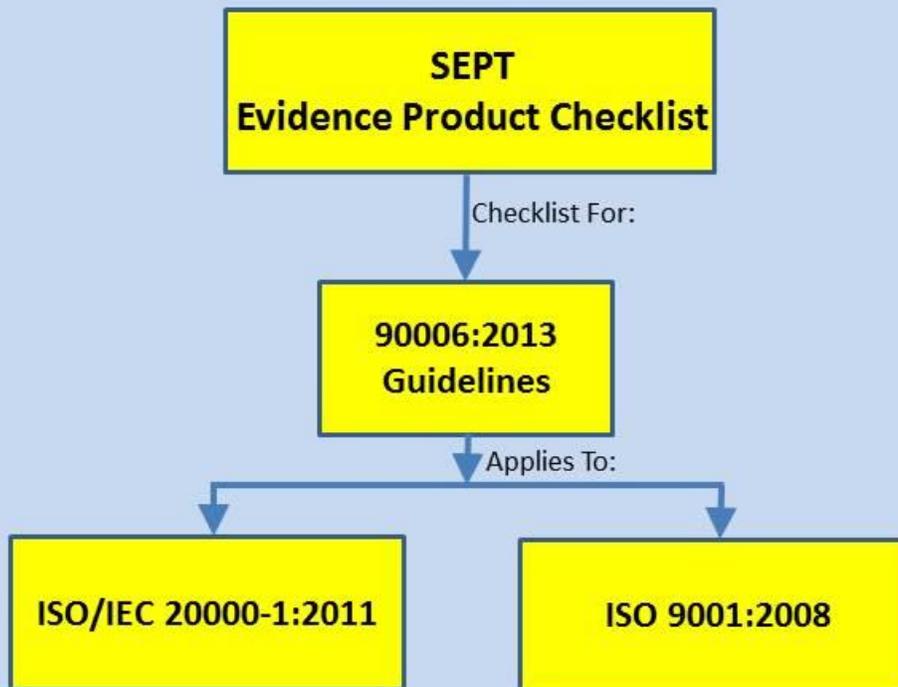
For
Standard ISO/IEC TR 90006:2013
Guidelines for the Application of ISO 9001:2008 to
IT Service Management and its Integration with
ISO/IEC 20000-1:2011

Checklist

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**SEPT
Evidence Product Checklist**

Checklist For:

**90006:2013
Guidelines**

Applies To:

ISO/IEC 20000-1:2011

ISO 9001:2008

SEPT EVIDENCE PRODUCT CHECKLIST
For ISO/IEC TR 90006:2013
Guidelines for the application of ISO
9001:2008 to IT service management and its
integration with ISO/IEC 20000-1:2011

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ISO/IEC TR 90006:2013 Guidelines for the application of ISO 9001:2008 to IT service management and its integration with ISO/IEC 20000-1:2011 – SEPT Evidence Product Checklist

Overview of the Technical Report ISO/IEC TR 90006:2013 Application of ISO 9001 with ISO/IEC 20000-1

ISO/IEC TR 90006:2013 specifies guidelines for a quality management system where an organization in the service management community faces both requirements for ISO 9001 and ISO/IEC 20000-1 compliance and:

- Needs to demonstrate its ability to consistently provide services that meets customer and applicable statutory and regulatory requirements, and aims to enhance customer satisfaction through the effective application of the services, including processes for continual improvement of the services and the assurance of conformity to customer and applicable statutory and regulatory requirements.

- All guidelines of ISO/IEC TR 90006:2013 are generic and are intended to be applicable to all organizations, regardless of type, size and services provided.
- Where any guideline(s) of ISO/IEC TR 90006:2013 cannot be applied due to the nature of an organization and its services, this can be considered for exclusion.
- Where exclusions are made, claims of conformity to ISO/IEC TR 90006:2013 are not acceptable unless these exclusions are limited to requirements within ISO 9001 (or ISO/IEC 20000-1), and such exclusions do not affect the organization's ability, or responsibility, to provide services that meet customer and applicable statutory and regulatory requirements.
- The items in Section 2b of the checklist are listed in ISO/IEC TR 90006 as not included in ISO 9001 but included in ISO/IEC 20000-1. Any organization that is working in Service Management should consider whether these items are important for their operational success and include them in their Service Management System. However, they are not required to satisfy ISO 9001 requirements as stated.

ISO/IEC TR 90006:2013 is a Technical Report and as such only provides guidelines rather than requirements. However its intended use is for organizations that are seeking to check conformity to ISO 9001 in a Service Management (ISO/IEC 20000-1) environment. So this checklist forms a bridge to assist the checking process.

Introduction to the Checklist
The process of defining what is necessary for compliance with a quality management process technical report such as "ISO/IEC TR 90006:2013" is often confusing and

laborious because the directions contained in the document are unclear or ambiguous. To aid in determining what is actually "required" by the document in the way of physical evidence of compliance, the experts at SEPT have produced this checklist. This checklist is constructed around a classification scheme of physical evidence comprised of policies, procedures, plans, records, documents, audits, and reviews. There must be an accompanying record of some type when an audit or review has been accomplished. This record would define the findings of the review or audit and any corrective action to be taken. **For the sake of brevity this checklist does not call out a separate record for each review or audit. All procedures should be reviewed but the checklist does not call out a review for each procedure, unless the standard calls out the procedure review.** In this checklist "manuals, reports, scripts and specifications" are included in the document category. When the subject technical report references another standard for physical evidence, the checklist does not call out the requirements of the referenced standard.

The Author has carefully reviewed the document "ISO/IEC TR 90006:2013 Guidelines for the application of ISO 9001:2008 to IT service management and its integration with ISO/IEC 20000-1:2011 " and defined the physical evidence required based upon this classification scheme. SEPT has conducted a second review of the complete list to ensure that the documents' producers did not leave out a physical piece of evidence that a "reasonable person" would expect to find. It could certainly be argued that if the document did not call it out then it is not required; however if the standard was used by an organization to improve its process, then it would make sense to recognize missing documents. Therefore, there are documents specified in this checklist that are implied by the standard, though not specifically called out in the document, and they are designated by an asterisk (*) throughout this checklist. If a document is called out more than one time, only the first reference is stipulated.

There are occasional situations in which a procedure or document is not necessarily separate and could be contained within another document. For example, the "Design and Development Verification Plan" could be a part of the "Design and Development Plan". The Author has called out these individual items separately to ensure that the organization does not overlook any facet of physical evidence. If the organization does not require a separate document, and an item can be a subset of another document or record, then this fact should be denoted in the detail section of the checklist for that item. This should be done in the form of a statement reflecting that the information for this document may be found in section XX of Document XYZ. If the organizational requirements do not call for this physical evidence for a particular project, this should also be denoted with a statement reflecting that this physical evidence is not required and why. The reasons for the evidence not being required should be clearly presented in this statement. Further details on this step are provided in the Detail Steps section of the introduction. The size of these documents could vary from paragraphs to volumes depending upon the size and complexity of the project or business requirements.

Revision History

Original edition: Checklist for ISO/IEC TR 90006:2013 Guidelines for the application of ISO 9001:2008 to IT service management and its integration with ISO/IEC 20000-1:2011

General Principles of the ISO/IEC TR 90006:2013 Guidelines for the application of ISO 9001:2008 to IT service management and its integration with ISO/IEC 20000-1:2011

Checklist

This checklist was prepared by analyzing each clause of this document for the key words that signify a:

- Policy
- Procedure
- Plan
- Records
- Document (Including Manuals, Reports, and Specifications)
- Audit
- Review

This checklist specifies evidence that is unique. After reviewing the completed document, the second review was conducted from a common sense "reasonable man" approach. If a document or other piece of evidence appeared to be required, but was not called out in the document, then it is added with an asterisk (*) after its notation in the checklist. The information was transferred into checklist tables, based on the type of product or evidence. Required items are denoted by an underline to aid use of the checklist.

The base document ISO 9001:2008 uses the term Quality Management System. For simplification in this checklist we refer to a Quality Management System as the Service Management System in any item requirements, since this is the term used in ISO//IEC 20000-1.

Using the Checklist

When a company is planning to use "ISO/IEC TR 90006:2013" technical report, the company should review the evidence checklist. If the company's present process does not address an ISO/IEC TR 90006:2013 service or product, then this question should be asked: Is the evidence service or product required for the type of business of the company? If in the view of the company the evidence is not required, the rationale should be documented and inserted in the checklist and quality manual. This rationale should pass "*the reasonable person rule*." If the evidence is required, plans should be prepared to address the missing item(s).

Detail Steps

An organization should compare the proposed output of their organization against the checklist. In doing this, they will find one of five conditions that exist for each item listed in the checklist. The following five conditions and the actions required by these conditions are listed in the table below.

Condition	Action Required
• The title of the documented evidence specified by the checklist (document, plan, etc.) *agrees* with the title of the evidence being planned by the organization.	Record in checklist that the organization is compliant.
• The title of the documented evidence specified by the checklist (document, etc.) *disagrees* with the title of the evidence planned by the organization but the content is the same.	Record in the checklist the evidence title the organization uses and record that the organization is compliant, and the evidence is the same although the title is different.
• The title of the documented evidence specified by the checklist (document, etc.) is *combined* with another piece of evidence.	Record in the checklist the title of the evidence (document, etc.) in which this information is contained.
• The title of the documented evidence specified by the checklist (document, etc.) *is not planned* by the organization because it is not required.	Record in the checklist that the evidence is not required and the rationale for this decision.
• The title of the documented evidence called out by the checklist (document, etc.) *is not planned* by the organization and *should be* planned by it.	Record in the checklist when this evidence will be planned and reference a plan for accomplishing the task.

Components of the Checklist

This checklist is composed of 9 sections:
- Section 1. Introduction
- Section 2. Composites of all required and suggested "ISO/IEC TR 90006:2013" evidence products. This is split in two sections:
  - Sub-Section 2a - Required and suggested items from ISO/IEC TR 90006 related to ISO 9001
  - Sub-Section 2b - Required and suggested items from ISO/IEC TR 90006 related to ISO/IEC 20000-1 that does not appear in ISO 9001 but pertinent to Service Management.
- Sections 3-8. Individual checklists for each evidence type. These sections are split into sub-sections a and b as per section 2 above.
- Section 9. "About the Author"

Product Support

All reasonable questions concerning this checklist or its use will be addressed free of charge for 60 days from time of purchase, up to a maximum of 4 hours consultation time.

Warranties and Liability
Software Engineering Process Technology (SEPT) makes no warranties implied or stated with respect to this checklist, and it is provided on an "*as is*" basis. SEPT will have no liability for any indirect, incidental, special or consequential damages or any loss of revenue or profits arising under, or with respect to the use of this document.

ISO/IEC TR 90006:2013 Clause Number and Name		**Policies** and Procedures	Plans	Records	Documents	**Audits** and Reviews
4	**Quality management system**					
4.1	General requirements	• *Improvement Prioritization Document Procedure 4.5.5.2** • *Other Parties Process Improvement Procedure 4.2** • *Other Parties Service Management Process Document Procedure 4.2** • Outsourcing Control Document Procedure* • Outsourcing Plan Procedure* • Outsourcing Procedure • *Service Design Procedure 4.5.2** • *Service Level Management Procedure 4.2**	• Outsourcing Plan • Service Management System Improvement Plan • *Service Management Communication Plan 4.1.1** • *Service Management Plan 4.1.1** • *Service Management Resource Plan 4.1.1** • *Service Location Plan 4.5.1** • *Service Management System Internal Audit Plan 4.5.4** • *Service Management System Management Reviews Plan 4.5.4**	• *Service Management System Audit Records 4.5.4** • *Service Management System Management Reviews Records 4.5.4** • *Service Management System Nonconformity Records 4.5.4**	• *Improvement Prioritization Document 4.5.5.2** • *Other Parties Service Management Process Document 4.2** • Outsourcing Control Document* • *Service Limitation Document 4.5.2** • *Service Management Scope and Objectives Document 4.1.1** • *Service Management System Audit Report Document 4.5.4** • *Service Management System Contract Document 4.5.2**	• Improvement Prioritization Document Review 4.5.5.2* • *Other Parties Service Management Process Document Review 4.2** • Outsourcing Control Document Review* • Outsourcing Plan Review* • Outsourcing Reviews* • *Service Limitation Document Review 4.5.2** • *Service Location Plan Review 4.5.1** • *Service Management Communication Plan Review 4.1.1**

ISO/IEC TR 90006:2013 Clause Number and Name	**Policies** and Procedures	Plans	Records	Documents	**Audits** and Reviews
4.1 General requirements (Cont. 1)	• *Service Limitation Document Procedure 4.5.2* • *Service Location Plan Procedure 4.5.1* • *Service Management Communication Plan Procedure 4.1.1* • *Service Management Improvement Measurement Procedure 4.5.5.2* • *Service Management Plan Procedure 4.1.1* • *Service Management Resource Plan Procedure 4.1.1* • *Service Management Scope and Objectives Document Procedure 4.1.1*	• *Service Technology Plan 4.5.1*		• Service Management System Document • *Service Management System Human, Technical Information and Financial Resources Document 4.4.1* • Service Management System Processes Used Document • *Service Management System Risk Document 4.1.1* • *Service Requirements Document 4.5.2*	• *Service Management Plan Review 4.1.1* • *Service Management Resource Plan Review 4.1.1* • *Service Management Scope and Objectives Document Review 4.1.1* • *Service Management System Contract Document Review 4.5.2* • Service Management System Document Review

ISO/IEC TR 90006:2013 Clause Number and Name		**Policies** and Procedures	Plans	Records	Documents	**Audits** and Reviews
4.1	General requirements (Cont. 2)	• ***Service Management Statutory, Regulatory, and Contractual Requirement Policy 4.1.1**** • *Service Management System Audit Procedure 4.5.2** • *Service Management System Contract Document Procedure 4.5.2** • Service Management System Document Procedure*				• *Service Management System Human, Technical Information and Financial Resources Document Reviews 4.4.1** • Service Management System Improvement Plan Review* • *Service Management System Internal Audit Plan Review 4.5.4** • ***Service Management System Internal Audits 4.5.4*** • *Service Management System Management Reviews 4.5.4**

ISO/IEC TR 90006:2013 Clause Number and Name	**Policies** and Procedures	Plans	Records	Documents	**Audits** and Reviews
4.1 General requirements (Cont. 3)	• *Service Management System Human, Technical Information and Financial Resources Document Procedure 4.4.1** • Service Management System Improvement Plan Procedure* • *Service Management System Improvement Procedure 4.5.2** • *Service Management System Improvement Reporting Procedure 4.5.5.2** • *Service Management System Internal Audit Plan Procedure 4.5.4**				• Service Management System Processes Used Document Review • *Service Management System Reviews 4.1.1** • *Service Management System Risk Document Review 4.1.1** • *Service Requirements Document Review4.5.2** • *Service Technology Plan Review 4.5.1**