

**ISO/IEC 20000-1:2011 vs. ISO 9001:2015
matrix**

ISO/IEC 20000-1:2011	ISO 9001:2015	Explanation
Introduction	Introduction	
	0.1 General	<p>The introductory section of the ISO 20000 standard contains a general description related to the:</p>
	0.2 Quality management principles	<ul style="list-style-type: none"> • Purpose of the standard • Service Management System (SMS) • PDCA methodology applied to SMS
	0.3 Process approach	<p>ISO 9001 has more comprehensive explanations:</p>
	0.4 Relationships with other management system standards	<ul style="list-style-type: none"> • 0.1 General – This clause explains the benefits of the Quality Management System (QMS) implementation, while pointing out that the standard does not imply a need for uniformity in the structure of the QMS. Additionally, enhancing customer satisfaction is pointed out in this clause. • 0.2 Quality management principles – This clause lists the quality management principles that are also applicable for ISO 20000 implementation. • 0.3 Process approach – This clause explains the process approach, PDCA cycle, and risk-based thinking. For more information, read Plan-Do-Check-Act in the ISO 9001 Standard. • 0.4 Relationships with other management system standards – This clause defines ISO 9001 as a framework for other management standards, i.e., SMS.

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		Read these articles: <ul style="list-style-type: none"> • ISO 20000 – The perfect way to improve IT services • Using ISO 20000 to control IT services to learn more about ISO 20000 and its usage in the business environment.
Service Management System requirements	Quality Management Systems - Requirements	
1 Scope	1 Scope	
1.1 General		Clause 1.1 contains an explanation of the areas of ISO 20000 usage. Additionally, clause 1. of ISO 9001 refers to customer satisfaction, which is also applicable to some of the processes within the scope of the SMS.
1.2 Application		This clause defines the applicability of ISO 20000 and overlaps with part of clause 1. of ISO 9001.
2 Normative references	2 Normative references	These clauses are the same.

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3 Terms and definitions	3 Terms and definitions	Terms and definitions in ISO 20000 contain mainly vocabulary specific for the standard, whereas ISO 9001 refers to the ISO 9000 definitions of terms, which contain general wording.
4. Service management system general requirements		
4.1 Management responsibility	5.1 Leadership and commitment	
4.1.1 Management commitment	5.1.1 General	Clause 4.1.1 of ISO 20000 sets the requirements of the top management, which partially overlap with clause 5.1.1 of ISO 9001. Additionally, ISO 9001 sets more requirements related to improvement and effectiveness of the QMS (read How to comply with new leadership requirements in ISO 9001:2015 to learn more about leadership requirements in ISO 9001).

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4.1.2 Service management policy	5.2 Quality policy	<p>This clause defines the Service Management Policy for the SMS. Additionally, clause 5.2 (and sub-clauses 5.2.1 and 5.2.2) of ISO 9001 partially contains some common requirements with ISO 20000:</p> <ul style="list-style-type: none"> • that the policy is appropriate to the purpose of the organization • to fulfill service requirements • to continually improve the management system • that the policy is communicated and understood by personnel <p>See a sample of the SMS Policy here: Service Management System (SMS) Policy.</p>
4.1.3 Authority, responsibility and communication	5.3 Organizational roles, responsibilities and authorities	<p>Clause 4.1.3 from ISO 20000 overlaps with clause 5.3 of ISO 9001 in the requirement that top management should ensure that authorities and responsibilities are defined. ISO 9001 sets additional requirements for top management, e.g., to promote customer requirements throughout the organization, ensure that processes are delivering their intended outputs, etc.</p>
4.1.4 Management representative		<p>Only the requirements from ISO 20000 apply, because ISO 9001 does not require appointing a management representative.</p>

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4.2 Governance of processes operated by other parties	8.4 Control of externally provided products and services	<p>Although third parties are managed by the Supplier Management (requirement 7.2), i.e., Service Level Management process (requirement 6.1), ISO 9001 provides extensive requirements for externally provided processes, products, and services. The following requirements apply to both standards:</p> <ul style="list-style-type: none"> • The organization remains accountable for the processes that are performed by external parties. • The organization should determine that process performance meets requirements. <p>The article How to control outsourced processes using ISO 9001 explains this topic in more detail.</p>
4.3 Documentation management	7.5 Documented information	<p>ISO 20000 recognizes the difference between documents and records, whereas ISO 9001 defines documented information, which could be in various forms (i.e., documents and records). According to ISO 9001, all requirements are valid for both documents and records; therefore, ISO 9001 is more extensive in setting requirements for records.</p> <p>Read the article New approach to document and record control in ISO 9001:2015 to learn more.</p>
4.3.1 Establish and maintain documents		
4.3.3 Control of records		

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4.4 Resource management	7.1 Resources	<p>ISO 20000 sets few general requirements regarding resources, whereas ISO 9001 is more detailed in setting non-technical resources requirements. See more about resource management in ISO 9001 in the article Understanding Resource Management in ISO 9001.</p>
4.4.1 Provision of resources	7.1.1 General	
4.4.2 Human resources	7.1.2 People	
4.4.1 Provision of resources	7.1.3 Infrastructure 7.1.4 Environment for the operation of process	

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4.5 Establish and improve the SMS	4.4 Quality management system and its processes	<p>ISO 20000 defines processes throughout the standard, but ISO 9001 sets generic requirements for the processes. This can underpin the requirements of ISO 20000 in the way that ISO 9001 explicitly defines that processes need to have:</p> <ul style="list-style-type: none"> • Determined inputs and defined expected outputs • Determined sequence and interactions of the processes • Determined and applied criteria for the operation of the processes • Assigned roles and responsibilities • Risks addressed • Evaluation in order to ensure that processes achieve their intended results
4.5.1 Define scope	4.3 Determining the scope of the quality management system	<p>Scope requirements in ISO 20000 are very narrow and service related. ISO 9001 requirements for the scope are more general and organization related, taking into consideration the organization's context, and needs and expectations of interested parties.</p> <p>For more information, read</p> <ul style="list-style-type: none"> • How to identify the context of the organization in ISO 9001:2015 • How to define the scope of the SMS in ISO 20000

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4.5.2 Plan the SMS (Plan)	Clauses 4, 5, 6, and 7	The SMS Plan requirements in ISO 20000 cover all aspects of the SMS. However, those requirements (e.g., management system objectives, roles and responsibilities, resources, etc.) are elaborated in more detail in clauses 4, 5, 6, and 7 of ISO 9001.
4.5.3 Implement and operate the SMS (Do)	7.1 Resources 7.1.1 General 7.1.2 People 7.1.3 Infrastructure 7.1.4 Environment for the operation of process 7.1.5 Monitoring and measuring resources 8.1 Operational planning and control	ISO 9001 has more detailed requirements for human, infrastructure, and environment resources, so resource management as defined in ISO 9001 can provide more details when defining resources needed to support the requirements of ISO 20000. Additionally, ISO 9001 has more detailed requirements for management, monitoring, and measuring of resources.
4.5.4 Monitor and review the SMS (Check)	9.1 Monitoring, measurement, analysis and evaluation	

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4.5.4.1 General	9.1.1 General	ISO 20000 can benefit from the broader requirements in ISO 9001, i.e., both standards require that methods for monitoring and measurement should be defined. But, ISO 9001 sets additional requirements in planning of the measurement and monitoring, which can help when implementing ISO 20000 monitoring of the SMS. Learn more about Analysis of measuring and monitoring requirements in ISO 9001:2015 .
4.5.4.2 Internal audit	9.2. Internal audit	Both standards require planning, objectivity, and impartiality of the audit process, as well as corrective actions and proceeding with them. However, ISO 9001 explains each of the items in more detail, and that can be used when implementing ISO 20000. Find out more about Five Main Steps in ISO 9001 Internal Audit .
4.5.4.2 Management review	9.3 Management review	Both standards have extensive requirements regarding management review inputs, and many of them are the same (e.g., customer feedback, status of actions from previous management review, audit results, opportunities for improvement, etc.). Additionally, ISO 9001 has output requirements that are applicable for the SMS, i.e., requirements for the output of the management review. See more about management review in ISO 9001 in the article How to make Management Review more useful in the QMS .
4.5.5 Maintain and improve the SMS (Act)		

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4.5.5.1 General	10 Improvement 10.1 General 10.2 Nonconformity and corrective action 10.3 Continual improvement	Due to the fact that ISO 20000 has more detailed requirements, there are not any new requirements in ISO 9001 that can be reused. Requirements regarding nonconformities and corrective actions are described in more detail in ISO 9001, which can be used in ISO 20000 implementation.
4.5.5.2 Management of improvements		There are no directly related clauses in ISO 9001. Read the ITIL CSI 7-step improvement process: How to analyze and present findings article to learn more about ITIL and ISO 20000 improvement.
5. Design and transition of new or changed services		
5.1 General		General requirements regarding the transition of new or changed services are more detailed than in ISO 20000, and contain specifics about how to define services within the scope of this process.

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5.2 Plan new or changed services	8.3.2 Design and development planning	Some general requirements can be taken from ISO 9001 (i.e., considerations when determining stages and controls for design and development), but there are many more requirements in ISO 20000. ISO 20000 also sets requirements regarding the removal of services. Learn more about design and transition of new or changed services in the blog Design and transition of new or changed services in ISO 20000 .
5.3 Design and development of new or changed services	8.3.3 Design and development inputs 8.3.4 Design and development controls	ISO 20000 has more extensive requirements than ISO 9001. Even so, ISO 9001 sets control requirements on the development of services, which can be used during ISO 20000 implementation to ensure efficiency during the development phase.
5.4 Transition of new or changed services	8.3.5 Design and development outputs	ISO 20000 sets general requirements for the transition into the live environment and requires that deployment of the services will be done using the Release and Deployment Management process. ISO 9001 partially overlaps with ISO 20000 requirements (by requiring that any developed service meet input requirements, and that any new service shall be verified against acceptance criteria) and defines that service, include monitoring and measurement requirements.

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6 Service delivery processes		
6.1 Service level management	8.5.5 Post-delivery activities	<p>Section 8.5.5 of ISO 9001 sets requirements that partially overlap with ISO 20000 requirements (i.e., meeting customer requirements) or are an extension of them (i.e., meeting statutory and regulatory requirements or considering potential undesired consequences associated with its services).</p> <p>Use these articles to learn about service level management and the service catalogue:</p> <ul style="list-style-type: none"> • Choosing four main inputs for the ITIL/ISO 20000 Service Catalogue to avoid bureaucracy • ITIL Service Level Management – making sure that what you want is what you get

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6.2 Service reporting	8.7 Control of nonconforming outputs 9 Performance evaluation 9.1 Monitoring, measurement, analysis and evaluation 9.1.1 General 9.1.2 Customer satisfaction 9.1.3 Analysis and evaluation	<p>Although ISO 20000 sets some SMS-specific requirements, ISO 9001 has extensive descriptions of controlling nonconforming outputs as well as performance evaluation (section 9.1 of the requirements). Requirements of ISO 9001 can be used to strengthen reporting made in ISO 20000.</p> <p>Read the article Service Reporting: Get the picture, big and small to learn more about service reporting.</p>

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<p>6.3 Service continuity and availability management</p> <p>6.3.1 Service continuity and availability requirements</p> <p>6.3.2 Service continuity and availability plans</p> <p>6.3.3 Service continuity and availability monitoring and testing</p>		<p>ISO 9001 does not set particular requirements on continuity and availability of the services.</p> <p>Read more in these articles:</p> <ul style="list-style-type: none"> • ITIL Availability Plan – A document you need, but probably don't have • IT Service Continuity Management – waiting for the big one
<p>6.4 Budgeting and accounting for services</p>		<p>ISO 9001 does not set particular requirements on budgeting and accounting for services.</p> <p>Use these ITIL and ISO 20000 articles to gain understanding and knowledge about budgeting and accounting for IT services:</p> <ul style="list-style-type: none"> • Financial Management for IT services – Theory and practice • ITIL Financial Management – Charging as a moment of truth

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6.5 Capacity management		<p>ISO 9001 does not set particular requirements on capacity management.</p> <p>Read the articles:</p> <ul style="list-style-type: none"> • Three faces of Capacity Management • ITIL Capacity Plan – A document you need, but probably don't have
<p>6.6 Information security management</p> <p>6.6.1 Information security policy</p> <p>6.6.2 Information security controls</p> <p>6.6.3 Information security changes and incidents</p>		<p>ISO 9001 does not set particular requirements on information security management.</p> <p>Learn more about information security management in these articles:</p> <ul style="list-style-type: none"> • If anything shouldn't be taken for granted... it's Information Security Management • Security incidents – How to approach them using ITIL and ISO 20000
7 Relationship processes		

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7.1 Business relationship management		<p>ISO 9001 does not set particular requirements on business relationship management with the customers.</p> <p>Use these ITIL and ISO 20000 articles to learn more about business relationship management:</p> <ul style="list-style-type: none"> • Business Relationship Management through the ITIL Lifecycle • Business Relationship Management, Service Level Management... Too much management?
7.2 Supplier management	<p>8.4 Control of externally provided products and services</p> <p>8.4.1 General</p> <p>8.4.2 Type and extent of control of external provision</p> <p>8.4.3 Information for external providers</p>	<p>ISO 9001 sets extensive requirements regarding suppliers, their control, and communication towards them. Those requirements partially overlap with ISO 20000 (i.e., monitoring and evaluation of the supplier performance, focus on service targets during evaluation of the supplier's ability to meet agreed requirements, and documenting improvement opportunities), but they could be used to manage suppliers more efficiently.</p> <p>Find out more about supplier management in ITIL and ISO 20000 in these articles:</p> <ul style="list-style-type: none"> • ISO 20000 Supplier Management – You lead the game • ITIL Supplier management – The third party you depend on
8 Resolution processes		

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8.1 Incident and service request management		<p>ISO 9001 does not set particular requirements on incident and service request management.</p> <p>Learn more about ITIL and ISO 20000 incident and service request management in these articles:</p> <ul style="list-style-type: none"> • ITIL Incident Management – How to separate roles at different support levels, How to measure Incident Management efficiency according to ITIL • ITIL Request Fulfillment: A quick win for customer satisfaction
8.2 Problem management	8.7 Control of nonconforming outputs	<p>The process for dealing with problems within the scope of ISO 20000 is defined in more details. ISO 9001 sets general direction (e.g., correction or obtaining authorization for acceptance under concession), which can be used as a starting point when defining a course of action for managing problems.</p> <p>Read these ITIL and ISO 20000 articles to learn more about problem management:</p> <ul style="list-style-type: none"> • ITIL Reactive and Proactive Problem Management: Two sides of the same coin • ITIL and ISO 20000 Problem Management – Organizing for problem resolution

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9 Control processes		
9.1 Configuration management		<p>ISO 9001 does not set particular requirements on Configuration Management.</p> <p>Learn more about Configuration Management in these ITIL and ISO 20000 articles:</p> <ul style="list-style-type: none"> • Knowing your herd – Service Asset and Configuration Management (SACM) • Three main activities to set up ITIL Service Asset and Configuration Management
9.2 Change management	8.5.6 Control of changes	<p>ISO 20000 has an extensive set of requirements for change management. But, some of the requirements overlap with ISO 9001 requirements in section 8.5.6., i.e., review and control of changes, as well as requirements regarding authorization.</p> <p>Read these ITIL and ISO 20000 articles:</p> <ul style="list-style-type: none"> • ITIL/ISO 20000 Request for Change – Your steering wheel throughout the change lifecycle • ITIL V3 Change Management – At the heart of Service Management

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9.3 Release and deployment management	8.6 Release of products and services	<p>ISO 20000 sets more detailed requirements for release and deployment of the services.</p> <p>Use these ITIL and ISO 20000 articles to learn more about release and deployment management:</p> <ul style="list-style-type: none"> • ITIL Release and Deployment Management Part I – General principles and service testing • ITIL Release and Deployment Management Part 2 – deployment methods and early life support



EPPS Services Ltd.
for electronic business and business consulting
Zavizanska 12, 10000 Zagreb
Croatia, European Union

Email: support@advisera.com
Phone: +1 (646) 759 9933
Toll-Free (U.S. and Canada): 1-888-553-2256
Toll-Free (United Kingdom): 0800 808 5485
Fax: +385 1 556 0711



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