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Information technology — Service management—

Part 1:

Service management system

Requirements

信息技术-服务管理-第一部分：

服务管理体系要求

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信息技术----服务管理---第一部分：要求

Information Technology---- Service management---Part 1: requirements

Foreword	前言
ISO (the International Organization for Standardization) and IEC (the International Electrotechnical Commission) form the specialized system for worldwide standardization. National bodies that are members of ISO or IEC participate in the development of International Standards through technical committees established by the respective organization to deal with particular fields of technical activity. ISO and IEC technical committees collaborate in fields of mutual interest. Other international organizations, governmental and non-governmental, in liaison with ISO and IEC, also take part in the work. In the field of information technology, ISO and IEC have established a joint technical committee, ISO/IEC JTC 1.	ISO（国际标准化组织）和 IEC（国际电工协会）组建了世界性的标准化的专业体系。ISO 和 IEC 的成员单位如对某特定项目感兴趣，可加入由 ISO 和 IEC 组织的技术委员会，以参与相关技术工作。ISO 和 IEC 在双方感兴趣的领域设立联合委员会。与 ISO 保持联系的各国际组织（官方的或非官方的）也可参加有关工作。ISO 与 IEC 在电工技术标准领域建立了联合技术委员会 ISO/IEC JTC 1。
International Standards are drafted in accordance with the rules given in the ISO/IEC Directives, Part 2.	国际标准是根据 ISO/IEC 导则第 2 部分的规则起草。
The main task of the joint technical committee is to prepare International Standards. Draft International Standards adopted by the joint technical committee are circulated to national bodies for voting. Publication as an International Standard requires approval by at least 75 % of the national bodies casting a vote.	联合技术委员会的主要任务是制定国际标准。由技术委员会通过的国际标准草案提交各成员团体投票表决。国际标准草案需取得至少 75% 参加表决成员团体的同意，才能作为国际标准正式发布。
Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights.ISO and IEC shall not be held responsible for identifying any or all such patent rights.	本文件中的某些内容有可能涉及一些专利权问题，对此应引起注意，ISO/IEC 不负责识别任何这样的专利权问题。
ISO/IEC 20000-1 was prepared by Joint Technical Committee ISO/IEC JTC 1, Information technology, Subcommittee SC 7, Software and systems engineering. This second edition cancels and replaces the firstedition (ISO/IEC 20000-1:2005), which has been technically revised. The main	ISO/IEC 20000-1 由 ISO/IEC JTC 1/SC 7 信息技术联合技术委员会软件和系统工程分会制定。第二版替代第一版标准（ISO/IEC 20000-1:2005），以及对其进行的技术性修订。主要的不同点如下：

differences are as follows:	
.closer alignment to ISO 9001;	--更接近 ISO 9001；
.closer alignment to ISO/IEC 27001;	--更接近 ISO/IEC 27001；
.change of terminology to reflect international usage;	--术语的变化，以同国际惯例接轨；
.addition of many more definitions, updates to some definitions and removal of two definitions;	--更多定义的增加，部分定义的更新和两个定义的删除；
.introduction of the term "service management system";	--术语"服务管理体系（SMS）"的引入；
.combining Clauses 3 and 4 of ISO/IEC 20000-1:2005 to put all management system requirements into one clause;	--整合了 ISO/IEC 20000-1:2005 的条款 3 和条款 4，使管理体系要求集中于一个条款；
.clarification of the requirements for the governance of processes operated by other parties;	---其他方运行过程的治理要求的澄清；
.clarification of the requirements for defining the scope of the SMS;	--对服务管理体系（SMS）的范围进行定义等要求的澄清；
.clarification that the PDCA methodology applies to the SMS, including the service management processes, and the services;	--澄清 PDCA 方法论适用于服务管理体系（SMS），包括服务管理过程及服务；
.introduction of new requirements for the design and transition of new or changed services.	--设计和转换新的或变更的服务新要求的引入。
ISO/IEC 20000 consists of the following parts, under the general title Information technology — Service management: .	ISO/IEC 20000 标准族由下列名为"信息技术-服务管理"标准构成，包括：
Part 1: Service management system requirements .	--第 1 部分：要求
Part 2: Guidance on the application of service management systems	--第 2 部分：应用服务管理体系指南
Part 3: Guidance on scope definition and applicability of ISO/IEC 20000-1 [Technical Report].	--第 3 部分（技术报告）：ISO/IEC 20000-1 范围定义和适用性指南
Part 4: Process reference model [Technical Report].	--第 4 部分（技术报告）：过程参考

	模型
Part 5: Exemplar implementation plan for ISO/IEC 20000-1 [Technical Report]	--第 5 部分（技术报告）：实施 ISO/IEC 20000-1 计划的模型
A process assessment model for service management will form the subject of a future Part 8.	服务管理的一个过程评估模型将在不久的将来推出，作为第 8 部分的一个章节。
Introduction The requirements in this part of ISO/IEC 20000 include the design, transition, delivery and improvement of services that fulfil service requirements and provide value for both the customer and the service provider. This part of ISO/IEC 20000 requires an integrated process approach when the service provider plans, establishes, implements, operates, monitors, reviews, maintains and improves a service management system (SMS). Co-ordinated integration and implementation of an SMS provides ongoing control and opportunities for continual improvement, greater effectiveness and efficiency. The operation of processes as specified in this part of ISO/IEC 20000 requires personnel to be well organized and co-ordinated. Appropriate tools can be used to enable the processes to be effective and efficient. The most effective service providers consider the impact on the SMS through all stages of the service lifecycle, from strategy through design, transition and operation, including continual improvement. This part of ISO/IEC 20000 requires the application of the methodology known as "Plan-Do-Check-Act" (PDCA) to all parts of the SMS and the services. The PDCA methodology, as applied in this part of ISO/IEC 20000, can be briefly described as follows. Plan: establishing, documenting and agreeing the SMS. The SMS includes the policies, objectives, plans and processes to fulfil the service	**引言** ISO/IEC 20000 的本部分要求包括设计、转换、交付和改进服务，以满足服务需求并向客户和服务提供方提供价值。ISO/IEC 20000 的本部分要求服务提供方在计划、建立、实施、运行、监控、回顾、维护和改进服务管理体系（SMS）时，采用整体的过程方法。 服务管理体系(SMS)协调一致的整合与实施可提供实时的控制以及更有效和更高效率的持续改进机会。ISO/IEC 20000 的本部分定义运行的过程要求要很好地组织和协调人员。要求采用适宜的工具以确保过程是有效的和有效率的。 最有效的服务提供方在服务的生命周期中的所有阶段，从战略到设计、转换和运行，包括持续改进都要考虑对服务管理体系（SMS）的影响。 ISO/IEC 20000 的本部分要求已知的"策划-实施-检查-处置"（PDCA）方法论应用于服务管理体系（SMS）和服务的所有部分。本部分采用的 PDCA 方法论，可以简单描述为： P-策划：建立文件化和协定的服务管理体系（SMS）。服务管理体系包括满足服务需求的方针、目标、计

requirements.	划和过程；
Do: implementing and operating the SMS for the design, transition, delivery and improvement of the services.	D-实施：实施和运行服务管理体系（SMS），以设计、转换、交付和改进服务；
Check: monitoring, measuring and reviewing the SMS and the services against the policies, objectives, plans and service requirements and reporting the results.	C-检查：根据方针、目标、计划和服务需求，对服务管理体系（SMS）进行监视、测量和回顾，并报告结果；
Act: taking actions to continually improve performance of the SMS and the services.	A-处置：采取措施，以持续改进服务管理体系（SMS）和服务的绩效。
When used within an SMS, the following are the most important aspects of an integrated process approach and the PDCA methodology:	当用于服务管理体系（SMS）时，以下内容是整合过程方法和 PDCA方法论最重要的方面：
a) understanding and fulfilling the service requirements to achieve customer satisfaction;	a）理解和满足服务需求以使客户满意；
b) establishing the policy and objectives for service management;	b）建立服务管理的方针和目标；
c) designing and delivering services based on the SMS that add value for the customer;	c）基于为客户增加价值的服务管理体系（SMS）设计和提供服务；
d) monitoring, measuring and reviewing performance of the SMS and the services;	d）监视、测量和回顾服务管理体系（SMS）和服务；
e) continually improving the SMS and the services based on objective measurements.	e）基于目标测量以持续改进服务管理体系（SMS）和服务。
Figure 1 illustrates how the PDCA methodology can be applied to the SMS, including the service management processes specified in Clauses 5 to 9, and the services. Each element of the PDCA methodology is a vital part of a successful implementation of an SMS. The improvement process used in this part of ISO/IEC 20000 is based on the PDCA methodology.	图1说明了PDCA方法论可以应用到服务管理体系（SMS），包括定义条款5-9的服务管理过程和服务。PDCA方法论的元素都是成功实施服务管理体系的关键部分。ISO/IEC 20000本部分的改进过程也基于PDCA方法论。

Figure 1 — PDCA methodology applied to service management	图 1 PDCA 方法论在服务管理的应用
This part of ISO/IEC 20000 enables a service provider to integrate its SMS with other management systems in the service provider's organization. The adoption of an integrated process approach and the PDCA methodology enables the service provider to align or fully integrate multiple management system standards. For example, an SMS can be integrated with a quality management system based on ISO 9001 or an information security management system based on ISO/IEC 27001.	ISO/IEC 20000本部分允许服务提供方在组织中将服务管理体系（SMS）和其他管理体系整合为一体。采用整合的过程方法和PDCA方法论可以使服务提供方能协调或完全整合多个管理体系标准。例如，服务管理体系可以与基于ISO 9001的质量管理体系和基于ISO/IEC 27001的信息安全管理体系整合。
ISO/IEC 20000 is intentionally independent of specific guidance. The service provider can use a combination of generally accepted guidance and its own experience.	ISO/IEC 20000的目的是独立的特定的指南。服务提供方可以结合使用其他普遍接受的指南和自身的经验。
Users of an International Standard are responsible for its correct application. An International Standard does not purport to include all necessary statutory and regulatory requirements and contractual obligations of the service provider. Conformity to an International Standard does not of itself confer immunity from statutory and regulatory requirements.	国际标准的使用者对标准的正确应用负责。国际标准并非旨在包括所有法律法规和服务提供方签署合同义务的要求。对国际标准的遵守并不意味着免除遵守法律法规的义务。

For the purposes of research on service management standards, users are encouraged to share their views on ISO/IEC 20000-1 and their priorities for changes to the rest of the ISO/IEC 20000 series. Click on the link below to take part in the online survey. ISO/IEC 20000-1 online survey	我们鼓励使用者分享对ISO/IEC 20000-1 的观点以及对ISO/IEC 20000标准族其他标准修改的优先顺序的意见，进而促进IT服务管理标准的研究。请点击以下链接参加在线调查： ISO/IEC 20000-1 在线调查
1 Scope **1.1 General** This part of ISO/IEC 20000 is a service management system (SMS) standard. It specifies requirements for the service provider to plan, establish, implement, operate, monitor, review, maintain and improve an SMS. The requirements include the design, transition, delivery and improvement of services to fulfil service requirements.This part of ISO/IEC 20000 can be used by: a) an organization seeking services from service providers and requiring assurance that their service requirements will be fulfilled; b) an organization that requires a consistent approach by all its service providers, including those in a supply chain; c) a service provider that intends to demonstrate its capability for the design, transition, delivery and improvement of services that fulfil service requirements; d) a service provider to monitor, measure and review its service management processes and services; e) a service provider to improve the design, transition and delivery of services through effective implementation and operation of an SMS; f) an assessor or auditor as the criteria for a conformity assessment of a service provider's SMS to the requirements in this part of ISO/IEC 20000.	**1 范围** **1.1 总则** ISO/IEC 20000 的本部分是服务管理体系（SMS）标准。它为服务提供方定义了策划、建立、实施、运行、监视、回顾、维护和提高服务管理体系的要求。该要求包括服务的设计、转换、交付和改进，以满足服务需求。ISO/IEC 20000 的本部分可被用于： a）从服务提供方寻求服务并要保证其服务需求被满足的组织； b）要求对所有供应商，包括供应链，采用一致性方法的组织； c）目的在于展示其服务的设计、转换、交付和改进能力满足服务需求的服务提供方； d）监视、测量和评审其服务管理过程和服务的服务提供方； e）通过有效的实施和运行服务管理体系（SMS）改进服务的设计、转换和交付的服务提供方； f）作为评估服务者的服务管理体系（SMS）满足 ISO/IEC 20000 本部分的准则的评估师或审核员。

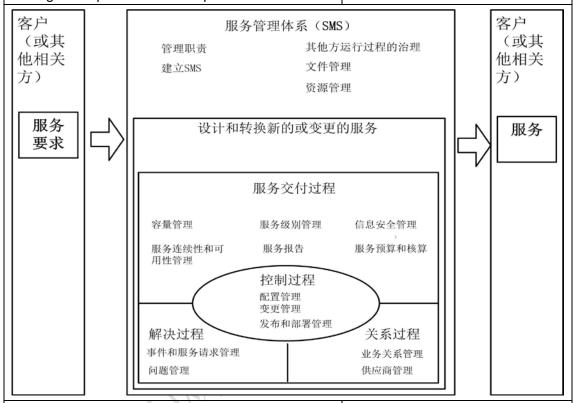|	
Figure 2 illustrates an SMS, including the service management processes. The service management processes and the relationships between the processes can be implemented in different ways by different service providers. The nature of the relationship between a service provider and the customer will influence how the service management processes are implemented.	图 2 说明了服务管理体系（SMS），包括服务管理过程。不同的服务提供方可采用不同的方式处理服务管理过程和过程之间的相关性。供应商和客户之间的实质关系将影响服务管理过程如何实施。

Figure 2 — Service management system	图 2 服务管理体系
1.2 Application All requirements in this part of ISO/IEC 20000 are generic and are intended to be applicable to all service providers, regardless of type, size and the nature of the services delivered. Exclusion of any of the requirements in Clauses 4 to 9 is not acceptable when a service provider claims conformity to this part of ISO/IEC 20000, irrespective of the nature of the service provider's organization. Conformity to the requirements in Clause 4 can only be demonstrated by a service provider showing evidence of fulfilling all of the requirements in Clause 4. A service provider cannot rely on evidence of the governance of processes operated by other parties for the requirements in Clause 4.	**1.2 应用** ISO/IEC 20000 的本部分是通用的，无论供应商的类型、规模和服务交付的特性，都可被采用。无论服务提供方组织有任何特性，宣称符合 ISO/IEC 20000 本部分的服务提供方对条款 4-9 的任何裁剪都是不可接受的。 ISO/IEC 20000 的本部分条款 4 的符合性仅限于服务提供方展示其自身证据，以说明满足条款 4 的所有要求。服务提供方不能将其他方运行过程治理作为条款 4 的证据。

Conformity to the requirements in Clauses 5 to 9 can be demonstrated by the service provider showing evidence of fulfilling all requirements. Alternatively, the service provider can show evidence of fulfilling the majority of the requirements themselves and evidence of the governance of processes operated by other parties for those processes, or parts of processes, that the service provider does not operate directly.	服务提供方可以展示自身证据，以证明符合条款 5-9 的符合性的要求。另外，服务提供方也可以展示满足大多数要求的自身证据和不直接操作的、其他方管理运行全部或部分过程产生的证据。
The scope of this part of ISO/IEC 20000 excludes the specification for a product or tool. However, organizations can use this part of ISO/IEC 20000 to help them develop products or tools that support the operation of an SMS.	ISO/IEC 20000 的本部分排除特定的产品或工具。然而，组织可以使用 ISO/IEC 20000 的本部分开发支持服务管理体系（SMS）运行的产品和工具。
NOTE ISO/IEC TR 20000-3 provides guidance on scope definition and applicability of this part of ISO/IEC 20000. This includes further explanation about the governance of processes operated by other parties.	注：ISO/IEC 20000-3 提供 ISO/IEC 20000 的本部分范围定义和适用性的指南。这包括更明确的关于其他方管理运行的过程的解释。
2 Normative references The following referenced documents are indispensable for the application of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.	**2 标准参考文献** 以下引用的文献对本文件的应用是不可缺少的。凡是注日期的引用文件，仅引用的版本适用。凡是不注日期的引用文件，其最新版本（包括所有的修订）适用于本标准。
No normative references are cited. This clause is included in order to ensure clause numbering is identical with ISO/IEC 20000-2:—, *Information technology — Service management — Part 2: Guidance on the application of service management systems*.	本条款中没有引用标准参考文献。本条款仅为确保条款的顺序与 ISO/IEC 20000-2：信息技术-信息管理-第 2 部分：实施服务管理体系指南保持一致。
3 Terms and definitions For the purposes of this document, the following terms and definitions apply.	**3 术语和定义** 下列术语和定义适用于 ISO/IEC 20000-1:2011 的本部分。
3.1 availability ability of a service or service component to perform its required function at an agreed instant or over an agreed period of time	3.1 可用性 availability 在协定的中断或规定时间段内，服务组件或服务执行要求功能的能力。

NOTE Availability is normally expressed as a ratio or percentage of the time that the service or service component is actually available for use by the customer to the agreed time that the service should be available.	注：可用性通常用客户使用的实际可用服务或服务组件的时间与约定服务时间的比率或百分比表示。
3.2 configuration baseline configuration information formally designated at a specific time during a service or service component's life	3.2 配置基线 configuration baseline 在服务或服务组件生命周期过程中特定时间段正式指定的配置信息。
NOTE 1 Configuration baselines, plus approved changes from those baselines, constitute the current configuration information.	注 1：配置基线，附加这些基线批准的变更单，构成现行的配置信息。
NOTE 2 Adapted from ISO/IEC/IEEE 24765:2010.	注 2：采纳自 ISO/IEC/IEEE 24765:2010。
3.3 configuration item CI element that needs to be controlled in order to deliver a service or services	3.3 配置项 configuration item（CI） 为交付单个或多个服务需求控制的所有要素。
3.4 configuration management database CMDB data store used to record attributes of configuration items, and the relationships between configuration items, throughout their lifecycle	3.4 配置管理数据库 configuration management database（CMDB） 存储用来记录每个配置项的特性和配置项之间关系的数据。
3.5 continual improvement recurring activity to increase the ability to fulfil service requirements	3.5 持续改进 continual improvement 增强满足服务需求的能力的循环活动。
NOTE Adapted from ISO 9000:2005.	注：改编自 ISO 9000:2005。
3.6 corrective action action to eliminate the cause or reduce the likelihood of recurrence of a detected nonconformity or other undesirable situation	3.6 纠正措施 corrective action 为消除已发现的不合格或其他不期望情况的原因所采取的措施。
NOTE Adapted from ISO 9000:2005.	注：改编自 ISO 9000:2005。
3.7 customer organization or part of an organization that receives	3.7 客户 customer 接受单个或多个服务的组织或组织

a service or services	的一部分。
NOTE 1　A customer can be internal or external to the service provider's organization.	注 1：客户可以是组织内部的或外部的。
NOTE 2　Adapted from ISO 9000:2005.	注 2：改编自 ISO 9000:2005。
3.8　document information and its supporting medium [ISO 9000:2005]	3.8 文件　document 信息及其承载媒介。 [ISO 9000:2005]
EXAMPLES Policies, plans, process descriptions, procedures, service level agreements, contracts or records.	例如：方针、计划、过程描述、程序、服务级别协议、合同文本。
NOTE 1　The documentation can be in any form or type of medium.	注 1："documentation"可以是任何类型的媒介。
NOTE 2　In ISO/IEC 20000, documents, except for records, state the intent to be achieved.	注 2：在 ISO/IEC 20000 中的文件，除了记录，其陈述的意图都要得以实现。
3.9 effectiveness extent to which planned activities are realized and planned results achieved [ISO 9000:2005]	3.9 有效性　effectiveness 完成计划的活动并得到计划结果的程度。 [ISO 9000:2005]
3.10 incident unplanned interruption to a service, a reduction in the quality of a service or an event that has not yet impacted the service to the customer	3.10 事件　incident 非计划的服务中断、服务质量的降低或尚未对客户服务造成影响的事情。
3.11 information security preservation of confidentiality, integrity and accessibility of information	3.11 信息安全 information security 保护信息的机密性、完整性和可访问性。
NOTE 1 In addition, other properties such as authenticity, accountability, non-repudiation and reliability can also be involved.	注 1：另外，也可以涉及其他一些特性，如真实性、可追责性、不可抵赖性和可靠性。
NOTE 2 The term "availability" has not been used in this definition because it is a defined term in this part of ISO/IEC 20000 which would not be appropriate for this definition.	注 2：在本定义中未使用术语"可用性"，因为在 ISO/IEC 20000 的本部分定义该术语是不适合的。

NOTE 3 Adapted from ISO/IEC 27000:2009.	注 3：改编自 ISO27000:2009。
3.12 information security incident single or a series of unwanted or unexpected information security events that have a significant probability of compromising business operations and threatening information security [ISO/IEC 27000:2009]	3.12 信息安全事件 information security incident 单个或一系列不需要的或非预期的、有明显的可能性危害业务运行和威胁信息安全的事情。 [ISO/IEC 27000:2009]
3.13 interested party person or group having a specific interest in the performance or success of the service provider's activity or activities	3.13 相关方 interested party 与服务提供方行为或行动的业绩或成就有利益关系的个人或团体。
EXAMPLES Customers, owners, management, people in the service provider's organization, suppliers, bankers, unions or partners.	示例：客户、所有者、员工、管理方、服务提供方组织内的人员、供应商银行、工会或合作伙伴。
NOTE 1 A group can comprise an organization, a part thereof, or more than one organization.	注 1：一个团体可由一个组织或其一部分组织或多个组织构成。
NOTE 2 Adapted from ISO 9000:2005.	注 2：改编自 ISO 9000:2005
3.14 internal group part of the service provider's organization that enters into a documented agreement with the service provider to contribute to the design, transition, delivery and improvement of a service or services	3.14 内部团体 internal group 服务提供方组织内部的一部分，与服务提供方有书面的协定，协助单个服务或多个服务的设计、转换、交付和改进。
NOTE The internal group is outside the scope of the service provider's SMS.	注：内部团体在服务提供方服务管体系（SMS）的范围之外。
3.15 known error problem that has an identified root cause or a method of reducing or eliminating its impact on a service by working around it	3.15 已知错误 known error 寻找到根本原因或找到减少或降低对服务冲击的规避方法的问题。
3.16 nonconformity non-fulfilment of a requirement [ISO 9000:2005]	3.16 不合格 nonconformity 未满足的要求。 [ISO 9000:2005]
3.17 organization group of people and facilities with an arrangement of	3.17 组织 organization 一组职责、权限和相互关系得到安

responsibilities, authorities and relationships	排的人员和设施。
EXAMPLES Company, corporation, firm, enterprise, institution, charity, sole trader, association, or parts or combination thereof.	示例：公司、集团、商业、企事业单位、研究机构、慈善机构、代理商、社团或上述组织的部分或组合。
NOTE 1 The arrangement is generally orderly.	注 1：安排通常是有序的。
NOTE 2 An organization can be public or private. [ISO 9000:2005]	注 2：组织可以是公有的或私有的。[ISO 9000:2005]
3.18 preventive action action to avoid or eliminate the causes or reduce the likelihood of occurrence of a potential nonconformity or other potential undesirable situation	3.18 纠正措施 corrective action 为避免或消除不合格的起因，或减少不合格或其他不期望情况复发的可能性所采取的措施。
NOTE Adapted from ISO 9000:2005.	注：改编自 ISO 9000:2005。
3.19 problem root cause of one or more incidents	3.19 问题 problem 造成一个或多个事件的根本原因。
NOTE The root cause is not usually known at the time a problem record is created and the problem management process is responsible for further investigation.	注：问题的根本原因在问题创建通常是未知的，问题管理过程就是负责探寻这些未知。
3.20 procedure specified way to carry out an activity or a process [ISO 9000:2005]	3.20 程序 procedure 为进行某项活动或过程所规定的途径。[ISO 9000:2005]
NOTE Procedures can be documented or not.	注：程序可以是书面的也可以是口头的。
3.21 process set of interrelated or interacting activities which transforms inputs into outputs [ISO 9000:2005]	3.21 过程 process 将输入转化为输出的相互关联或相互作用的一组活动。[ISO 9000:2005]
3.22 record document stating results achieved or providing evidence of activities performed [ISO 9000:2005]	3.22 记录 record 阐明所取得的结果或提供所完成活动的证据的文件。[ISO 9000:2005]
EXAMPLES Audit reports, incident reports, training	示例：审核报告，事件报告，培训

records or minutes of meetings.	记录或会议纪要
3.23 release collection of one or more new or changed configuration items deployed into the live environment as a result of one or more changes	3.23 发布 release 作为一个或多个变更的结果而同时引入现实环境的一个或多个新配置项或变更的配置项的集合。
3.24 request for change proposal for a change to be made to a service, service component or the service management system	3.24 变更请求 request for change 提出的针对服务、服务组件或服务管理体系（SMS）的变更建议。
NOTE A change to a service includes the provision of a new service or the removal of a service which is no longer required.	注：对服务的变更包括准备新的服务或移除不再需要的服务。
3.25 risk effect of uncertainty on objectives	3.25 风险 risk 对目标不确定性的影响。
NOTE 1 An effect is a deviation from the expected — positive and/or negative.	注 1：影响是对期望的偏离-正面和（或）负面的。
NOTE 2 Objectives can have different aspects (such as financial, health and safety, and environmental goals) and can apply at different levels (such as strategic, organization-wide, project, product and process).	注 2：目标可以有不同的方面（例如财务、健康、安全和环境目标）和不同的层级（如战略级、组织范围级、项目级、产品级和过程级）。
NOTE 3 Risk is often characterized by reference to potential events and consequences, or a combination of these.	注 3：风险的特点往往参照潜在事件和后果，或者它们的组合；
NOTE 4 Risk is often expressed in terms of a combination of the consequences of an event (including changes in circumstances) and the associated likelihood of occurrence. [ISO 31000:2009]	注 4：风险在术语中通常表述为一个事件的后果（包括环境的变更）和相关后果发生可能性的组合。 [ISO 31000:2009]
3.26 service means of delivering value for the customer by facilitating results the customer wants to achieve	3.26 服务 Service 意味着提供价值达到客户期望结果的服务。
NOTE 1 Service is generally intangible.	注 1：服务通常是无形的。

NOTE 2 A service can also be delivered to the service provider by a supplier, an internal group or a customer acting as a supplier.	注 2：服务提供方、内部团体或客户自身可以作为提供者交付的服务。
3.27 service component single unit of a service that when combined with other units will deliver a complete service	3.27 服务组件 service component 单一的服务单元与其他单元结合时将交付一套完整的服务。
EXAMPLES Hardware, software, tools, applications, documentation, information, processes or supporting services.	示例：硬件，软件，工具，应用，文件，信息和过程或支持服务。
NOTE A service component can consist of one or more configuration items.	注：一个服务组件可以有一个或多个配置项构成。
3.28 service continuity capability to manage risks and events that could have serious impact on a service or services in order to continually deliver services at agreed levels	3.28 服务的连续性 service continuity 管理一系列影响单个或多个服务的风险和事件，持续提供协定级别服务的能力。
3.29 service level agreement SLA documented agreement between the service provider and customer that identifies services and service targets	3.29 服务级别协议（SLA） service level agreement 服务提供方与客户之间签署的，明确了服务和服务目标的书面协议。
NOTE 1 A service level agreement can also be established between the service provider and a supplier, an internal group or a customer acting as a supplier.	注 1：服务级别协议可在服务提供方和供应者、内部团体或作为供应商的客户之间建立。
NOTE 2 A service level agreement can be included in a contract or another type of documented agreement.	注 2：服务级别协议可以包含在合同或其他任何类型的文件化的协定中。
3.30 service management set of capabilities and processes to direct and control the service provider's activities and resources for the design, transition, delivery and improvement of services to fulfil the service requirements	3.30 服务管理 service management 一组能力和过程，指导和控制服务提供方的活动和资源，设计、转换、交付和改进服务，以满足服务需求。
3.31 service management system SMS management system to direct and control the	3.31 服务管理体系（SMS）service management system

service management activities of the service provider	管理体系，用来指导和控制服务提供方的服务管理活动。
NOTE 1 A management system is a set of interrelated or interacting elements to establish policy and objectives and to achieve those objectives.	注 1：管理体系是一组相关或交互的元素，建立方针和目标并实现这些目标。
NOTE 2 The SMS includes all service management policies, objectives, plans, processes, documentation and resources required for the design, transition, delivery and improvement of services and to fulfil the requirements in this part of ISO/IEC 20000.	注 2：服务管理体系（SMS）包括所有服务管理的方针、目标、策略、过程、文件和资源，只要它们满足 ISO/IEC 20000 本部分要求，以及用于服务的设计、转换、交付和改进的相关要求。
NOTE 3 Adapted from the definition of "quality management system" in ISO 9000:2005.	注 3：改编自 ISO 9000：2005 中"质量管理体系"的定义。
3.32 service provider organization or part of an organization that manages and delivers a service or services to the customer	3.32 服务提供方 service provider 为客户提供单个或多个服务的组织或组织的一部分。
NOTE A customer can be internal or external to the service provider's organization.	注：对于服务提供方的组织来说，客户可以是内部的或外部的。
3.33 service request request for information, advice, access to a service or a pre-approved change	3.33 服务请求 service request 请求提供信息、建议、访问某个服务或预先核准的变更。
3.34 service requirement needs of the customer and the users of the service, including service level requirements, and the needs of the service provider	3.34 服务需求 service requirement 客户和用户对服务的需求，包括服务级别的要求，以及对服务提供方的要求。
3.35 supplier organization or part of an organization that is external to the service provider's organization and enters into a contract with the service provider to contribute to the design, transition, delivery and improvement of a service or services or processes	3.35 供应商 supplier 服务提供方组织之外的组织或服务提供方组织的一部分，与服务提供方签订合同，协助单个服务或多个服务或过程的设计、转换、交付和改进。
NOTE Suppliers include designated lead suppliers but not their sub-contracted suppliers.	注：供应商包括指定的主供应商，但不包括他们的分包商。

3.36 top management person or group of people who direct and control the service provider at the highest level NOTE Adapted from ISO 9000:2005.	3.36 最高管理者 top management 在最高层指挥和控制服务提供方的一个人或一组人。 注：改编自 ISO 9000:2005。
3.37 transition activities involved in moving a new or changed service to or from the live environment	3.37 转换 transition 将新的或变更的服务纳入现实环境或从现实环境移出的一组活动。
4 Service management system general requirements **4.1 Management responsibility** **4.1.1 Management commitment** Top management **shall** provide evidence of its commitment to planning, establishing, implementing, operating, monitoring, reviewing, maintaining, and improving the SMS and the services by: a) establishing and communicating the scope, policy and objectives for service management; b) ensuring that the service management plan is created, implemented and maintained in order to adhere to the policy, achieve the objectives for service management and fulfil the service requirements; c) communicating the importance of fulfilling service requirements; d) communicating the importance of fulfilling statutory and regulatory requirements and contractual obligations; e) ensuring the provision of resources; f) conducting management reviews at planned intervals; g) ensuring that risks to services are assessed and managed.	**4 服务管理体系总要求** **4.1 管理职责** **4.1.1 管理承诺** 最高管理者应通过以下活动，对其策划、建设、实施、运行、监控、评审、维护和改进服务管理体系（SMS）和服务提供证据： a）建立和沟通服务管理的范围、方针和目标； b）确保服务管理计划的创建、实施和维护，以坚持服务方针、实现服务目标和满足服务需求； c）传达满足服务需求的重要性； d）传达满足法律法规要求和合同义务的重要性； e）确保提供资源； f）按照计划的时间间隔实施管理评审； g）确保已经评估和管理服务风险。
4.1.2 Service management policy Top management **shall** ensure that the service management policy:	**4.1.2 服务管理方针** 最高管理者应确保服务方针：

a)is appropriate to the purpose of the service provider;	a） 与服务提供方的宗旨相适应；
b)includes a commitment to fulfil service requirements;	b） 包括对满足服务需求的承诺；
c)includes a commitment to continually improve the effectiveness of the SMS and the services through the policy on continual improvement in Clause 4.5.5.1;	c） 包括通过条款4.5.5.1的持续改进方针对持续改进服务管理体系（SMS）和服务有效性的承诺；
d)provides a framework for establishing and reviewing service management objectives;	d） 提供制定和评审服务管理目标的框架；
e)is communicated and understood by the service provider's personnel;	e） 传达至服务提供方的每个人，并统一认识；
f)is reviewed for continuing suitability.	f） 在持续适宜性方面得到评审。
4.1.3 Authority, responsibility and communication Top management **shall** ensure that: a) service management authorities and responsibilities are defined and maintained; b) documented procedures for communication are established and implemented.	**4.1.3 权限、职责和沟通** 最高管理者应： a） 已规定确保服务管理的职责、权限，并沟通； b） 已经建立并实施书面的沟通程序。
4.1.4 Management representative Top management **shall** appoint a member of the service provider's management who, irrespective of other responsibilities, has the authorities and responsibilities that include: a)ensuring that activities are performed to identify, document and fulfil service requirements; b)assigning authorities and responsibilities for ensuring that service management processes are designed, implemented and improved in accordance with the policy and objectives for service management;	**4.1.4管理者代表** 最高管理者应指定服务提供方管理层的一个成员，无论该成员在其他方面的职责如何，具有以下方面的职责和权限： a） 确保执行识别、记录和满足服务需求的活动； b） 分配权限和职责，确保根据服务管理的方针和目标设计、实施和提高服务管理过程；

c)ensuring that service management processes are integrated with the other components of the SMS;	c) 确保服务管理过程是与其他服务管理体系（SMS）管理组件整合的；
d)ensuring that assets, including licences, used to deliver services are managed according to statutory and regulatory requirements and contractual obligations;	d) 确保用于交付服务的资产（包括许可证），其管理遵从法律法规要求和合同义务；
e)reporting to top management on the performance and opportunities for improvement to the SMS and the services.	e) 向最高管理者报告服务管理体系（SMS）的业绩和任何改进的机会。
4.2 Governance of processes operated by other parties For the processes in Clauses 5 to 9, the service provider **shall** identify all processes, or parts of processes, which are operated by other parties. Other parties can be an internal group, a customer or a supplier. The service provider **shall** demonstrate governance of processes operated by other parties by:	**4.2其他方运行过程的治理** 对于条款5-9的过程，服务提供方**应**识别所有被其他方全部或部分运行的过程。其他方可以是内部团体、客户或供应商。服务提供方**应**通过以下活动说明对其他方运行过程的治理：
a)demonstrating accountability for the processes and authority to require adherence to the processes;	a) 说明问责的过程和遵守过程要求的证明；
b)controlling the definition of the processes, and interfaces to other processes;	b) 控制过程的定义和与其他过程的接口；
c)determining process performance and compliance with process requirements;	c) 确定过程的性能和对过程需求的遵守；
d) controlling the planning and prioritizing of process improvements.	d) 控制过程改进的计划和优先级。
When a supplier is operating parts of the processes, the service provider **shall** manage the supplier through the supplier management process. When an internal group or a customer is operating parts of the processes, the service provider **shall** manage the internal group or the customer through the service level management process.	当供应商运行过程的一部分时，服务提供方**应**通过供应商管理过程对其进行管理。当内部团体或客户运行部分过程时，服务提供方**应**通过服务级别管理对内部团体或客户进行管理。
NOTE ISO/IEC TR 20000-3 provides guidance on scope definition and applicability of this part of	注：ISO/IEC TR 20000-3提供了ISO/IEC 20000本部分范围定义和

ISO/IEC 20000. This includes further explanation about the governance of processes operated by other parties.	实用性的指导。包括未来对其他方运行过程的解释。
4.3 Documentation management **4.3.1 Establish and maintain documents** The service provider **shall** establish and maintain documents, including records, to ensure effective planning, operation and control of the SMS. These documents **shall** include: a) documented policy and objectives for service management; b) documented service management plan; c) documented policies and plans created for specific processes as required by this part of ISO/IEC 20000; d) documented catalogue of services; e) documented SLAs; f) documented service management processes; g) documented procedures and records required by this part of ISO/IEC 20000; h) additional documents, including those of external origin, determined by the service provider as necessary to ensure effective operation of the SMS and delivery of the services.	**4.3 文件管理** **4.3.1 建立和维护文件** 服务提供方应建立和维护包括记录在内的文件，以确保有效的计划、运行和控制服务管理体系（SMS）。这些文件应包括： a）形成服务管理方针和目标的文件； b）形成服务管理计划的文件； c）形成本部分要求的特定过程方针和策略的文件； d）形成服务目录的文件； e）形成服务级别协议（SLAs）的文件； f）形成服务管理过程的文件； g）形成本部分要求的过程和程序的文件； h）附加的文件，由服务提供方确定保证服务管理体系（SMS）运行有效和服务交付必要的文件，包括外部来源文件。
4.3.2 Control of documents Documents required by the SMS **shall** be controlled. Records are a special type of document and **shall** be controlled according to the requirements given in Clause 4.3.3. A documented procedure, including the authorities and responsibilities, **shall** be established to define the controls needed to:	**4.3.2 文件控制** 服务管理体系（SMS）所要求的文件应予以控制。记录是一种特殊类型的文件，应依据条款4.4.3的要求进行控制。 应编制形成文件的程序，包括权限和职责，以规定以下方面所需的控制：

a) create and approve documents prior to issue;	a）文件发布前得到批准；
b) communicate to interested parties about new or changed documents;	b）通知相关方新的或变更的文件；
c) review and maintain documents as necessary;	c）必要时对文件进行评审与维护；
d) ensure that changes and the current revision status of documents are identified;	d）确保文件的更改和现行修订状态得到识别；
e) ensure that relevant versions of applicable documents are available at points of use;	e）确保在使用处可获得有关版本的使用文件；
f) ensure that documents are readily identifiable and legible;	f）确保文件清晰、易于识别；
g) ensure that documents of external origin are identified and their distribution controlled;	g）确保外来文件得到识别并控制其分发；
h) prevent the unintended use of obsolete documents and apply suitable identification to them if they are retained.	h）防止作废文件的非预期使用，若因任何原因而保留作废文件时，对这些文件进行适当的标识。
4.3.3 Control of records Records **shall** be kept to demonstrate conformity to requirements and the effective operation of the SMS. A documented procedure **shall** be established to define the controls needed for the identification, storage, protection, retrieval, retention and disposal of records. Records **shall** be legible, readily identifiable and retrievable.	**4.3.3 记录控制** 为符合要求和服务管理体系（SMS）有效运行应保留记录。 应编制形成文件的程序，以规定记录的标识、储存、保护、检索、保存和处置所需的控制记录应保持清晰、易于识别和检索。
4.4 Resource management **4.4.1 Provision of resources** The service provider **shall** determine and provide the human, technical, information and financial resources needed to:	**4.4 资源管理** **4.4.1 资源提供** 服务提供方应确定和提供以下活动所需要的人员、技术、信息和财务资源：
a) establish, implement and maintain the SMS and the services, and continually improve their effectiveness;	a）建立、实施和维护服务管理体系（SMS）和服务，并持续改进它们的有效性；
b) enhance customer satisfaction by delivering	b）通过提供满足服务需求的服务

services that fulfil service requirements.	增强客户的满意度。
4.4.2 Human resources The service provider's personnel performing work affecting conformity to service requirements **shall** be competent on the basis of appropriate education, training, skills and experience. The service provider **shall**: a) determine the necessary competence for personnel; b) where applicable, provide training or take other actions to achieve the necessary competence; c) evaluate the effectiveness of actions taken; d) ensure that its personnel are aware of how they contribute to the achievement of service management objectives and the fulfilment of service requirements; e) maintain appropriate records of education, training, skills and experience.	**4.4.2 人力资源** 基于适当的教育、培训、技能和经验，从事影响服务需求的符合性工作的服务提供方人员应是能够胜任的。服务提供方应： a）确定人员必须的能力； b）适用时，提供培训或采取其他措施以使人员获得所需的能力； c）评价所采取措施的有效性； d）确保人员认识到他们如何为实现服务管理目标和满足服务需求做出贡献； e）确保教育、培训、技能和经验的适当记录。
4.5 Establish and improve the SMS **4.5.1 Define scope** The service provider **shall** define and include the scope of the SMS in the service management plan. The scope **shall** be defined by the name of the organizational unit providing the services, and the services to be delivered. The service provider **shall** also take into consideration other factors affecting the services to be delivered including: a) geographical location(s) from which the service provider delivers the services; b) the customer and their location(s); c) technology used to provide the services. NOTE ISO/IEC TR 20000-3 provides guidance on scope definition and applicability of this part of	**4.5 建立和改进服务管理体系** **4.5.1 定义范围** 服务提供方应在服务管理策划中定义和包含服务管理体系（SMS）的范围。范围应定义提供服务的组织单元名称和所交付的服务。 服务提供方应考虑其他影响服务交付的因素，包括： a）服务提供方交付服务的地理位置； b）客户和他们的位置； c）用于提供服务的技术。 注：ISO/IEC TR 20000-3 提供了 ISO/IEC 20000 本部分的范围定义

ISO/IEC 20000.	和适用性的指南。
4.5.2 Plan the SMS (Plan) The service provider **shall** create, implement and maintain a service management plan. Planning **shall** take into consideration the service management policy, service requirements and requirements in this part of ISO/IEC 20000. The service management plan **shall** contain or include a reference to at least the following:	**4.5.2 策划服务管理体系（plan）** 服务管理者应创建、实施和维护服务管理策划。策划应考虑服务管理方针、服务需求和ISO/IEC 20000本部分的要求。服务管理策划应包含或包括至少引用以下方面：
a) service management objectives that are to be achieved by the service provider	a） 服务提供方要达到的服务管理目标；
b) service requirements;	b） 服务需求；
c) known limitations which can impact the SMS;	c） 冲击服务管理体系（SMS）的已知限制；
d) policies, standards, statutory and regulatory requirements and contractual obligations;	d） 方针、标准、法律法规需求和合同义务；
e) framework of authorities, responsibilities and process roles;	e） 权限、职责和过程角色框架；
f) authorities and responsibilities for plans, service management processes and services;	f） 针对策划、服务管理过程和服务的权限和职责；
g) human, technical, information and financial resources necessary to achieve the service management objectives;	g） 完成服务管理目标所需的人员、技术、信息和财务资源；
h) approach to be taken for working with other parties involved in the design and transition of new or changed services process;	h） 涉及设计和转换新的或变更的服务过程时，与其他方共同工作所采取的方法；
i) approach to be taken for the interfaces between service management processes and their integration with the other components of the SMS;	i） 服务管理过程之间的接口和与服务管理体系（SMS）其他组件整合，要执行的过程；
j) approach to be taken for the management of risks and the criteria for accepting risks;	j） 管理风险和风险接受准则所采取的方法；
k) technology used to support the SMS;	k） 用于支持服务管理体系（SMS）

	的技术；
l) how the effectiveness of the SMS and the services will be measured, audited, reported and improved.	l） 如何测量、审核、汇报和改进服务管理体系（SMS）和服务的有效性。
Plans created for specific processes **shall** be aligned with the service management plan. The service management plan and plans created for specific processes **shall** be reviewed at planned intervals and, if applicable, updated.	任何针对特定过程生成的策划都应与服务管理策划保持一致。服务管理策划和为特定过程生成的策划应按照计划的时间间隔评估，如果适用的话，要进行更新。
4.5.3 Implement and operate the SMS (Do) The service provider **shall** implement and operate the SMS for the design, transition, delivery and improvement of services according to the service management plan, through activities including at least:	**4.5.3 实施和运行服务管理体系（Do）** 服务提供方应实施和运行服务管理体系（SMS），根据服务管理设计、转换、交付和改进服务，活动至少包括以下：
a) allocation and management of funds and budgets;	a） 资金和开支的分配；
b) assignment of authorities, responsibilities and process roles;	b） 权限、职责和过程角色的分配；
c) management of human, technical and information resources;	c） 管理人员、技术和信息资源；
d) identification, assessment and management of risks to the services;	d） 识别、评估并管理服务的风险；
e) management of service management processes;	e） 服务管理过程的管理；
f) monitoring and reporting on performance of service management activities.	f） 监视和报告服务管理活动的绩效；
4.5.4 Monitor and review the SMS (Check) **4.5.4.1 General** The service provider **shall** use suitable methods for monitoring and measuring the SMS and the services. These methods **shall** include internal audits and management reviews.	**4.5.4 监视和评审服务管理体系（Check）** **4.5.4.1 总要求** 服务提供方应采用适当的方法来监视、测量服务管理体系（SMS）和服务。这些方法应包括内部审核和管理评审。

The objectives of all internal audits and management reviews **shall** be documented. The internal audits and management reviews **shall** demonstrate the ability of the SMS and the services to achieve service management objectives and fulfil service requirements. Nonconformities **shall** be identified against the requirements in this part of ISO/IEC 20000, the SMS requirements identified by the service provider or the service requirements. The results of internal audits and management reviews, including nonconformities, concerns and actions identified, **shall** be recorded. The results and actions **shall** be communicated to interested parties.	任何内部审核和管理评审的目标应是书面的。内部审核和管理评审应证明服务管理体系（SMS）和服务达到服务管理目标和满足服务需求的能力。违反ISO/IEC 20000本部分要求、服务提供方自身服务管理体系要求或服务需求的不合格应予以识别。 内部审核管理评审的结果，包括不合格、关注和识别的改进都应记录。结果和改进都应与相关方沟通。
4.5.4.2 Internal audit The service provider **shall** conduct internal audits, at planned intervals, to determine whether the SMS and the services: a) fulfil the requirements in this part of ISO/IEC 20000; b) fulfil the service requirements and the SMS requirements identified by the service provider; c) are effectively implemented and maintained. There **shall** be a documented procedure including the authorities and responsibilities for planning and conducting audits, reporting results and maintaining audit records. An audit programme **shall** be planned. This **shall** take into consideration the status and importance of the processes and areas to be audited, as well as the results of previous audits. The audit criteria, scope, frequency and methods **shall** be documented. The selection of auditors and conduct of audits **shall** ensure objectivity and impartiality of the audit. Auditors **shall** not audit their own work.	**4.5.4.2 内部审核** 服务提供方应按照计划的时间间隔进行内部审核，以确定服务管理体系（SMS）和服务是否： a）符合 ISO/IEC 20000 本部分的要求； b）符合服务需求以及服务提供方确定的服务管理体系（SMS）的需求； c）得到有效实施和保持。 应编制形成文件的程序，以规定审核的策划、实施以及报告结果和保持记录的职责和要求。 审核方案应进行策划。应考虑虚拟审核的过程和区域的状况和重要性以及以往审核的结果。审核的准则、范围、频次和方法应形成书面文件。 审核员的选择和审核的实施应确保审核过程的客观性和公正性。审核员不应该审核自己的工作。

Nonconformities **shall** be communicated, prioritized and responsibility allocated for actions. The management responsible for the area being audited **shall** ensure that any corrections and corrective actions are taken without undue delay to eliminate nonconformities and their causes. Follow-up activities **shall** include the verification of the actions taken and the reporting of results. NOTE See ISO 19011 for guidance on management systems auditing.	不合格**应**被沟通、分优先顺序并分配职责进行处置。负责受审区域的管理者**应**确保及时采取必要的纠正措施，以消除所发现的不合格及其原因。跟踪活动**应**包括对采取措施的验证和验证结果的报告。 注：作为管理体系审核的指南，参见ISO 19011。
4.5.4.3 Management review Top management **shall** review the SMS and the services at planned intervals to ensure their continued suitability and effectiveness. This review **shall** include assessing opportunities for improvement and the need for changes to the SMS, including the policy and objectives for service management. The input to management reviews **shall** include at least information on: a) customer feedback; b) service and process performance and conformity; c) current and forecast human, technical, information and financial resource levels; d) current and forecast human and technical capabilities; e) risks; f) results and follow-up actions from audits; g) results and follow-up actions from previous management reviews; h) status of preventive and corrective actions;	**4.5.4.3 管理评审** 最高管理者**应**按计划的时间间隔评审服务管理体系（SMS），以确保其持续性的适宜性和有效性。评审**应**包括评价服务管理体系改进的机会和变更的需要，包括服务管理方针和服务管理目标。 管理评审的输入**应**包括至少以下信息： a）客户反馈； b）服务和过程的绩效和符合性； c）现在和未来人员、技术、信息和财务资源级别； d）现在和未来人员和技术能力； e）风险； f）审核结果和跟踪措施； g）以往管理审核的结果和跟踪措施； h）预防和纠正措施的状况；

i) changes that could affect the SMS and the services;	i)　可能影响服务管理体系（SMS）的变更；
j) opportunities for improvement.	j)　改进机会。
Records of management reviews **shall** be maintained.	**应**保持管理评审的记录。
The records from the management review **shall** include at least decisions and actions related to resources improvement of the effectiveness of the SMS and improvement of the services.	管理评审的记录**应**至少包括对资源的决策和处置，服务管理体系（SMS）有效性的改进和服务的改进。
4.5.5 Maintain and improve the SMS (Act) **4.5.5.1 General** There **shall** be a policy on continual improvement of the SMS and the services. The policy **shall** include evaluation criteria for the opportunities for improvement. There **shall** be a documented procedure including the authorities and responsibilities for identifying, documenting, evaluating, approving, prioritizing, managing, measuring and reporting of improvements. Opportunities for improvement, including corrective and preventive actions, **shall** be documented. The cause of identified nonconformities **shall** be corrected. Corrective actions **shall** be taken to eliminate the cause of identified nonconformities in order to prevent recurrence. Preventive actions **shall** be taken in order to eliminate the cause of potential nonconformities in order to prevent occurrence. NOTE For more information on corrective and preventive action, see ISO 9001:2008, Clause 8.5.	**4.5.5 维护和改进服务管理体系（Act）** **4.5.5.1 总要求** **应**有持续改进服务管理体系（SMS）和服务的方针。方针**应**包括评价改进机会的准则。 **应**制定书面的程序，包括识别、记录、评估、批评、排定优先级顺序、管理、测量和报告改进的权限和职责。改进的机会包括纠正和预防措施，**应**以书面形式确定。 已确定不合格的原因**应**被纠正。纠正措施**应**用于消除已确定不合格的原因，防止不合格再次发生。预防措施**应**用于消除潜在不合格的原因，以预防不合格的发生。 注：更多纠正和预防措施的信息，参照ISO 9001:2008的条款8.5。
4.5.5.2 Management of improvements Opportunities for improvement **shall** be prioritized. The service provider **shall** use the evaluation criteria in the policy on continual improvement, when making decisions on opportunities for improvement.	**4.5.5.2 管理改进** 改进机会**应**排出优先顺序。决策改进机会时，服务提供方**应**使用持续改进方针中的评价标准。

Approved improvements **shall** be planned.	批准的改进应被策划。
The service provider **shall** manage improvement activities that include at least:	服务提供方应管理改进活动，至少包括：
a) setting targets for improvements in one or more of quality, value, capability, cost, productivity, resource utilization and risk reduction;	a) 在质量、价值、能力、成本、生产率、资源利用率和风险降低等一个或多个方面设定改进目标；
b) ensuring that approved improvements are implemented;	b) 确保批准的改进被实施；
c) revising the service management policies, plans, processes and procedures, where necessary;	c) 必要时，修订服务管理方针、策划、过程和程序；
d) measuring implemented improvements against the targets set and where targets are not achieved, taking necessary actions;	d) 根据设定的目标测量实施的改进，当目标不能实现时，采取必要的措施；
e) reporting on implemented improvements.	e) 报告实施的改进。
5 Design and transition of new or changed services **5.1 General** The service provider **shall** use this process for all new services and changes to services with the potential to have a major impact on services or the customer. The changes that are in the scope of Clause 5 **shall** be determined by the change management policy agreed as part of the change management process. Assessment, approval, scheduling and reviewing of new or changed services in the scope of Clause 5 **shall** be controlled by the change management process. The CIs affected by new or changed services in the scope of Clause 5 **shall** be controlled by the configuration management process. The service provider **shall** review outputs from the planning and design activities for new or changed services against the agreed service requirements and the relevant requirements given in Clauses 5.2 and 5.3. Based on the review, the service provider **shall** accept or reject the outputs. The service	**5 设计和转换新的或变更的服务** **5.1总要求** 任何对现有服务或客户有潜在重大冲击的新服务或对服务的变更，服务提供方应使用变更管理过程。作为变更管理过程的一部分，变更管理方针应确定在条款5范围内的变更。 评估、批准、安排和评审条款5范围内的新的或变更的服务应由变更管理过程控制。条款5范围内的新的或变更的服务影响配置项（CIs）应由配置管理过程控制。 服务提供方应依据协定的服务需求和条款5.2、5.3相关的要求，评审策划和设计活动的输出。基于评审，服务提供方应接受或拒绝输出。服务提供方应采取必要的措施，保证

provider **shall** take necessary actions to ensure that the development and transition of the new or changed services can be performed effectively, using the accepted outputs.	新的或变更的服务的开发和转换执行是有效的、是使用接受的输出的。
NOTE The need for a new service or a change to a service can originate from the customer, the service provider, an internal group or a supplier in order to satisfy business needs or to improve the effectiveness of the services.	注：新服务或服务的变更可源于客户，服务提供方、内部团体或供应商，其目的是为满足业务需求或改进服务的有效性。
5.2 Plan new or changed services The service provider **shall** identify the service requirements for the new or changed services. New or changed services **shall** be planned to fulfil the service requirements. Planning for the new or changed services **shall** be agreed with the customer and interested parties.	**5.2 策划新的或变更的服务** 服务提供方应识别新的或变更的服务的需求。应策划新的或变更的服务以满足服务需求。策划新的或变更的服务应与客户和相关协商。
As input to planning, the service provider **shall** take into consideration the potential financial, organizational, and technical impact of delivering the new or changed services. The service provider **shall** also take into consideration the potential impact of the new or changed services on the SMS.	作为策划的输入，服务提供方应考虑提供新的或变更的服务，对财务、组织和技术的潜在冲击。服务提供方应同时考虑新的或变更的服务对服务管理体系（SMS）的潜在冲击。
Planning for the new or changed services **shall** contain or include a reference to at least the following:	策划新的或变更的服务应至少包含或包括引用以下内容：
a)authorities and responsibilities for design, development and transition activities;	a) 设计、开发和转换活动的权限和职责；
b)activities to be performed by the service provider and other parties including activities across interfaces from the service provider to other parties;	b) 由服务提供方和其他方执行的活动，包括从服务提供方到相关方接口的活动；
c)communication to interested parties;	c) 通报给相关方；
d)human, technical, information and financial resources;	d) 人员、技术、信息和财务；
e)timescales for planned activities;	e) 策划活动的时间跨度；
f)identification, assessment and management of	f) 识别、评估和管理风险；

risks;	
g)dependencies on other services;	g） 依赖的其他方；
h)testing required for the new or changed services;	h） 新的或变更的服务的测试要求；
i)service acceptance criteria;	i） 服务验收准则；
j)expected outcomes from delivering the new or changed services, expressed in measurable terms.	j） 以可测量术语表示的提供新的或变更的服务而产生的预期结果。
For services that are to be removed, the service provider **shall** plan for the removal of the service(s). Planning **shall** include the date(s) for the removal, archiving, disposal or transfer of data, documentation and service components. The service components can include infrastructure and applications with associated licences.	对于将要删除的服务，服务提供方**应**做出服务的删除计划。计划**应**包括移除、归档、销毁或传递的数据、文件和服务组件。服务组件可包括基础架构和有授权的应用。
The service provider **shall** identify other parties who will contribute to the provision of service components for the new or changed services. The service provider **shall** evaluate their ability to fulfil the service requirements. The results of the evaluation **shall** be recorded and necessary actions taken.	服务提供方**应**识别新的或变更的服务的其他方，只要他们协助提供服务组件。服务提供方**应**评估他们满足服务需求的能力。**应**记录评估结构并采用必要的措施。
5.3 Design and development of new or changed services The new or changed services **shall** be designed and documented to include at least:	**5.3 设计和开发新的或变更的服务** **应**设计并以书面形式明确新的或变更的服务，至少包括：
a)authorities and responsibilities for delivery of the new or changed services;	a） 交付新的或变更的服务的权限和职责；
b)activities to be performed by the service provider, customer and other parties for delivery of the new or changed services;	b） 交付新的或变更的服务所需由服务提供方、客户和其他方执行的活动；
c)new or changed human resource requirements, including requirements for appropriate education, training, skills and experience;	c） 新的或变更的人力资源要求，包括适当的教育、培训、技巧和经验要求；
d) financial resource requirements for delivery of the	d） 交付新的或变更的服务的财务

new or changed services;	资源要求；
e) new or changed technology to support the delivery of the new or changed services;	e） 支持交付的新的或变更的服务的新的或变更的技术；
f) new or changed plans and policies as required by this part of ISO/IEC 20000;	f） ISO/IEC 20000 本部分要求的新的或变更的策划和方针；
g) new or changed contracts and other documented agreements to align with changes in service requirements;	g） 与服务需求一致的新的和变更的合同和其他文件；
h) changes to the SMS;	h） 对服务管理体系（SMS）的变更；
i) new or changed SLAs;	i） 新的或变更的 SLAs；
j) updates to the catalogue of services;	j） 服务目录的更新；
k) procedures, measures and information to be used for the delivery of the new or changed services.	k） 用于交付新的或变更服务的程序、测量和信息。
The service provider **shall** ensure that the design enables the new or changed services to fulfil the service requirements.	服务提供方应当确保设计以使新的或变更的服务满足服务需求；
The new or changed services **shall** be developed in accordance with the documented design.	应根据书面的设计开发新的或变更的服务。
NOTE For further information about design, see the design and development process in ISO 9001:2008, Clause 7.3 or the architectural design process in ISO/IEC 15288:2008, Clause 6.4.3.	注：关于设计的更多信息，参见ISO 9001:2008的条款7.3设计和开发过程或 ISO/IEC 15288:2008 的条款 6.4.3结构化设计过程。
5.4 Transition of new or changed services The new or changed services **shall** be tested to verify that they fulfil the service requirements and documented design. The new or changed services **shall** be verified against service acceptance criteria agreed in advance by the service provider and interested parties. If the service acceptance criteria are not met, the service provider and interested parties **shall** make a decision on necessary actions and deployment.	**5.4转换新的或变更的服务** 应通过对新的或变更的服务测试以证明满足服务需求和设计文件。新的和变更的服务应验收通过，服务验收准则由服务提供方和相关方事先协定。如果未达到服务验收标准，服务提供方和相关方应决定采取必要的措施修正。

The release and deployment management process **shall** be used to deploy approved new or changed services into the live environment.	发布和部署管理过程**应**应用在实际环境中部署已批准的新的或变更的服务。
Following the completion of the transition activities, the service provider **shall** report to interested parties on the outcomes achieved against the expected outcomes.	转换活动完成后，服务提供方**应**向相关方汇报期望成果和实际结果的对比。
6 Service delivery processes **6.1 Service level management** The service provider **shall** agree the services to be delivered with the customer. The service provider **shall** agree a catalogue of services with the customer. The catalogue of services **shall** include the dependencies between services and service components. For each service delivered, one or more SLAs **shall** be agreed with the customer. When creating SLAs, the service provider **shall** take into consideration the service requirements. SLAs **shall** include agreed service targets, workload characteristics and exceptions. The service provider **shall** review services and SLAs with the customer at planned intervals. Changes to the documented service requirements, catalogue of services, SLAs and other documented agreements **shall** be controlled by the change management process. The catalogue of services **shall** be maintained following changes to services and SLAs to ensure that they are aligned. The service provider **shall** monitor trends and performance against service targets at planned intervals. Results **shall** be recorded and reviewed to identify the causes of nonconformities and opportunities for improvement. For service components provided by an internal group or the customer, the service provider **shall**	**6 服务交付过程** **6.1服务级别管理** 服务提供方**应**与客户协定交付的服务。 服务提供方**应**与客户协定服务目录。服务目录**应**包括服务和服务组件之间的依赖关系。 所交付的每个服务，**应**与客户协定在一个或多个服务级别协议（SLAs）中。当创建服务级别协议时，服务提供方**应**考虑服务需求。SLAs**应**包括协定的服务目标、工作量特性和期望。 服务提供方**应**与客户按照计划的时间间隔评审服务和SLAs。 变更管理过程**应**对书面的服务需求、服务目录、SLAs和其他书面协议的变更控制。服务和SLAs变更后，服务目录**应**及时更新，以确保它们是一致的。 服务提供方**应**按照计划的时间间隔，依据服务目标监视趋势和绩效。结果**应**记录和评审以识别造成不合格的原因和改进的机会。 针对由内部团体或客户提供的服务组件，服务提供方**应**开发、协定、

develop, agree, review and maintain a documented agreement to define the activities and interfaces between the two parties. The service provider **shall** monitor performance of the internal group or the customer against agreed service targets and other agreed commitments, at planned intervals. Results **shall** be recorded and reviewed to identify the causes of nonconformities and opportunities for improvement.	评审和维护书面的协议，以定义双方的活动和接口，依据协定的服务目标和其他协定的承诺。服务提供方**应**按照计划的时间间隔监视内部团体或客户的绩效。结果**应**记录和评审以识别不合格的原因和改进的机会。
6.2 Service reporting The description of each service report, including its identity, purpose, audience, frequency and details of the data source(s), **shall** be documented and agreed by the service provider and interested parties. Service reports **shall** be produced for services using information from the delivery of services and the SMS activities, including the service management processes. Service reporting **shall** include at least: a) performance against service targets; b) relevant information about significant events including at least major incidents, deployment of new or changed services and the service continuity plan being invoked; c) workload characteristics including volumes and periodic changes in workload; d) detected nonconformities against the requirements in this part of ISO/IEC 20000, the SMS requirements or the service requirements and their identified causes; e) trend information; f) customer satisfaction measurements, service complaints and results of the analysis of satisfaction measurements and complaints. The service provider **shall** make decisions and take	**6.2服务报告** 服务提供方与相关方协定形成书面服务报告，报告描述**应**包含识别、目的、读者、频率和数据源的详情。 针对服务生成的报告**应**使用所交付服务和服务管理体系（SMS)的信息，包括服务管理过程。服务报告**应**至少包括： a) 与服务级别目标相对应的绩效； b) 有关重大事件信息，至少包括重大事故、部署新的或变更的服务和触发业务连续性计划； c) 工作量特征，包括工作量和周期性变化； d) 与 ISO/ IEC 20000 本部分要求、服务管理体系(SMS)要求或服务需求相对应识别出的不合格以及对应的原因； e) 趋势信息； f) 客户满意度测量、服务投诉和对满意度测量和投诉的分析。 服务提供方**应**基于服务报告的发现

actions based on the findings in service reports. The agreed actions **shall** be communicated to interested parties.	做出决策并采取措施。协定的措施**应**与相关方沟通。
6.3 Service continuity and availability management **6.3.1 Service continuity and availability requirements** The service provider **shall** assess and document the risks to service continuity and availability of services. The service provider **shall** identify and agree with the customer and interested parties service continuity and availability requirements. The agreed requirements **shall** take into consideration applicable business plans, service requirements, SLAs and risks. The agreed service continuity and availability requirements **shall** include at least: a) access rights to the services; b) service response times; c) end to end availability of services.	**6.3服务的连续性和可用性管理** **6.3.1服务的连续性和可用性要求** 服务提供方**应**评估并以书面形式明确服务连续性和服务可用性的风险。服务提供方**应**与客户和相关方识别和协定服务连续性和可用性要求。协定的要求**应**考虑适用的业务计划、服务需求、SLAs和风险。 协定的服务连续性和可用性要求**应**至少包括： a）访问服务的权利； b）服务响应时间； c）端到端的可用性。
6.3.2 Service continuity and availability plans The service provider **shall** create, implement and maintain a service continuity plan(s) and an availability plan(s). Changes to these plans **shall** be controlled by the change management process. The service continuity plan(s) **shall** include at least: a) procedures to be implemented in the event of a major loss of service, or reference to them; b) availability targets when the plan is invoked; c)recovery requirements; d) approach for the return to normal working conditions. The service continuity plan(s), contact lists and the CMDB **shall** be accessible when access to normal	**6.3.2服务的连续性和可用性计划** 服务提供方**应**创建、实施和维护服务连续计划和可用性计划。这些计划的变更**应**受变更管理控制。 服务连续性计划至少**应**包括： a）服务重大损失情况下要执行的程序，或对程序的引用； b）计划启动时的可用性目标； c）恢复要求； d）返回正常工作状态的方法； 当正常服务地点的访问被阻止时，**应**具有服务连续性计划、联系清单

service locations is prevented.	和配置管理数据库。
The availability plan(s) **shall** include at least availability requirements and targets.	服务连续性计划应至少包含可用性要求和目标。
The service provider **shall** assess the impact of requests for change on the service continuity plan(s) and the availability plan(s).	服务提供方应评估服务连续性计划和服务可用性计划的变更需求的影响。
NOTE The service continuity plan(s) and availability plan(s) can be combined into one document.	注：服务连续性计划和可用性计划可整合在一个文件中。
6.3.3 Service continuity and availability monitoring and testing Availability of services **shall** be monitored, the results recorded and compared with agreed targets. Unplanned non-availability **shall** be investigated and necessary actions taken.	**6.3.3服务的连续性和可用性的监视和测试** 应监视服务可用性，记录结果并与协定的目标比较。应对计划之外的不可用性进行调查并采取必要的措施。
Service continuity plans **shall** be tested against the service continuity requirements. Availability plans **shall** be tested against the availability requirements. Service continuity and availability plans **shall** be re-tested after major changes to the service environment in which the service provider operates.	针对服务连续性要求，服务连续性计划应被测试。可用性计划应针对服务可用性要求测试。服务提供方操作运行的服务环境发生重大变化时，服务连续性和可用性计划应重新测试。
The results of the tests **shall** be recorded. Reviews **shall** be conducted after each test and after the service continuity plan has been invoked. Where deficiencies are found, the service provider **shall** take necessary actions and report on the actions taken.	测试的结果应被记录。每次测试和服务连续性计划启动后，应实施评审。当发现不足时，服务提供方应采取必要的措施并报告采取的措施。
6.4 Budgeting and accounting for services There **shall** be a defined interface between the budgeting and accounting for services process and other financial management processes. There **shall** be policies and documented procedures for:	**6.4服务的预算和核算** 服务的预算和核算过程与其他财务管理过程之间应有明确的接口。应有方针和书面的程序：
a) budgeting and accounting for service components including at least	a)　服务组件的预算和核算至少包括
1)　assets — including licences — used to provide the services,	1)　用于提供服务的资产（包括许可证），

2) shared resources,	2) 共享资源，
3) overheads,	3) 管理费用，
4) capital and operating expenses,	4) 资金和运行费用，
5) externally supplied services,	5) 外部供应的服务，
6) personnel,	6) 人员，
7) facilities;	7) 设施；
b) apportioning indirect costs and allocating direct costs to services, to provide an overall cost for each service;	b) 与服务相关的间接成本和直接成本的分摊，并为每个服务提供总体成本；
c) effective financial control and approval.	c) 有效的财物控制和授权。
Costs **shall** be budgeted to enable effective financial control and decision-making for services delivered.	**应**对支出进行预算，使交付的服务能有效地进行财务控制和业务决策。
The service provider **shall** monitor and report costs against the budget, review the financial forecasts and manage costs.	服务提供方**应**对比预算监视并报告预算的支出，评审财务预报，从而管理支出。
Information **shall** be provided to the change management process to support the costing of requests for change.	信息**应**提供给变更管理过程以支持变更请求的成本计算。
NOTE Many service providers charge for their services. The scope of the budgeting and accounting for services process excludes charging.	注：许多服务提供方对他们的服务计费。服务的预算和核算过程范围不包括计费。
6.5 Capacity management The service provider **shall** identify and agree capacity and performance requirements with the customer and interested parties.	**6.5能力管理** 服务提供方**应**与客户和相关方明确和协定能力和性能要求。
The service provider **shall** create, implement and maintain a capacity plan taking into consideration human, technical, information and financial resources. Changes to the capacity plan **shall** be controlled by the change management process.	服务提供方**应**生成、实施和维护一个考虑到人员、技术、信息和财务资源的能力计划。能力计划的变更**应**受变更管理过程的控制。

The capacity plan **shall** include at least:	能力计划至少**应**包含：
a) current and forecast demand for services;	a) 当前和预计的对服务的需要；
b) expected impact of agreed requirements for availability, service continuity and service levels;	b) 协定的要求对可用性、服务连续性和服务级别的预期冲击；
c) time-scales, thresholds and costs for upgrades to service capacity;	c) 服务能力升级的时间跨度、阀值和支出；
d) potential impact of statutory, regulatory, contractual or organizational changes;	d) 法律、法规、合同或组织变更的潜在影响；
e) potential impact of new technologies and new techniques;	e) 新技术和和新技巧的潜在影响；
f) procedures to enable predictive analysis, or reference to them.	f) 能够进行预期分析的程序，或参考它们；
The service provider **shall** monitor capacity usage, analyse capacity data and tune performance. The service provider **shall** provide sufficient capacity to fulfil agreed capacity and performance requirements.	服务提供方**应**监视能力使用，分析能力数据并调整性能。服务提供方**应**提供足够的能力满足协定的能力和性能要求。
6.6 Information security management **6.6.1 Information security policy** Management with appropriate authority **shall** approve an information security policy taking into consideration the service requirements, statutory and regulatory requirements and contractual obligations. Management **shall**:	**6.6信息安全** **6.6.1信息安全方针** 拥有适当权限的管理者**应**批准考虑到服务需求、法律法规要求和合同义务的信息安全方针。管理者**应**：
a) communicate the information security policy and the importance of conforming to the policy to appropriate personnel within the service provider, customer and suppliers;	a) 向服务提供方、客户和供应商的适当人员传达信息安全方针以及遵守该方针的重要性；
b) ensure that information security management objectives are established;	b) 确保建立信息安全管理目标；
c) define the approach to be taken for the management of information security risks and the criteria for accepting risks;	c) 明确管理信息安全风险所采取的方法和接受风险的准则；

d) ensure that information security risk assessments are conducted at planned intervals;	d)　确保信息安全风险评估按照计划的时间间隔实施；
e) ensure that internal information security audits are conducted;	e)　确保信息安全内审的进行；
f) ensure that audit results are reviewed to identify opportunities for improvement.	f)　确保审核结果被评审以识别改进的机会。
6.6.2 Information security controls The service provider **shall** implement and operate physical, administrative and technical information securitycontrols in order to: a) preserve confidentiality, integrity and accessibility of information assets; b) fulfil the requirements of the information security policy; c) achieve information security management objectives; d) manage risks related to information security. These information security controls **shall** be documented and **shall** describe the risks to which the controlsrelate, their operation and maintenance. The service provider **shall** review the effectiveness of information security controls. The service provider **shall** take necessary actions and report on the actions taken. The service provider **shall** identify external organizations that have a need to access, use or manage theservice provider's information or services. The service provider **shall** document, agree and implementinformation security controls with these external organizations.	**6.6.2信息安全控制措施** 服务提供方应实施和运行物理的、管理的和技术的信息安全控制措施以便于： a)　保护信息资产的机密性、完整性和可访问性； b)　满足信息安全方针的要求； c)　达到信息安全管理的目标； d)　管理信息安全相关的风险。 信息安全控制措施应以书面形式描述控制措施对应的风险，以及控制措施的运行和维护。 服务提供方应评估信息安全控制措施的有效性。信息安全提供者应采取必要的措施并汇报采取的措施。 服务提供方应识别需要访问、使用或管理服务提供方的信息或服务的外部组织。服务提供方应与这些外部组织一起协定和实施信息安全控制措施并形成文件。
6.6.3 Information security changes and incidents Requests for change **shall** be assessed to identify:	**6.6.3信息安全的变更和事件** 变更请求应被评估以确定：

a) new or changed information security risks;	a) 新的或变更的信息安全风险；
b) potential impact on the existing information security policy and controls.	b) 对已有信息安全方针和控制措施的潜在影响。
Information security incidents **shall** be managed using the incident management procedures, with a priority appropriate to the information security risks. The service provider **shall** analyse the types, volumes and impacts of information security incidents. Information security incidents **shall** be reported and reviewed to identify opportunities for improvement.	信息安全事件应采用事件管理流程管理，其优先级别与信息安全风险相适应。服务提供方应分析信息安全事件的类型、数量和冲击。信息安全事件应报告和评审以识别改进的机会。
NOTE The ISO/IEC 27000 family of standards specifies requirements and provides guidance to support the implementation and operation of an information security management system.	注：ISO/IEC 27000标准族提出了明确要求为支持实施和运行信息安全管理体系提供指导。
7 Relationship processes **7.1 Business relationship management** The service provider **shall** identify and document the customers, users and interested parties of the services.	**7.关系过程** **7.1业务关系管理** 服务提供方应识别并记录服务的客户、用户和相关方。
For each customer, the service provider **shall** have a designated individual who is responsible for managing the customer relationship and customer satisfaction.	对于每个客户，服务提供方应指定专人负责管理客户关系和客户满意度。
The service provider **shall** establish a communication mechanism with the customer. The communication mechanism **shall** promote understanding of the business environment in which the services operate and requirements for new or changed services. This information **shall** enable the service provider to respond to these requirements.	服务提供方应与客户建立沟通机制。沟通机制应事先了解业务环境对服务运行和新的或变更服务的要求。该信息应使服务提供方响应这些要求。
The service provider **shall** review the performance of the services at planned intervals, with the customer.	服务提供方和客户应按计划的时间间隔评审服务的绩效。
Changes to the documented service requirements **shall** be controlled by the change management process. Changes to the SLAs **shall** be co-ordinated	形成书面的服务需求的变更应受变更管理过程的控制。SLAs的变更应

with the service level management process.	与服务级别管理过程协调。
The definition of a service complaint **shall** be agreed with the customer. There **shall** be a documented procedure to manage service complaints from the customer. The service provider **shall** record, investigate, act upon, report and close service complaints. Where a service complaint is not resolved through the normal channels, escalation **shall** be provided to the customer.	服务投诉的定义**应**与客户协商一致。**应**有书面的程序管理来自客户的投诉，服务提供方**应**记录、调查、采取措施、报告和关闭服务投诉。当服务投诉不能通过正常渠道解决时，**应**为客户提供升级服务。
The service provider **shall** measure customer satisfaction at planned intervals based on a representative sample of the customers and users of the services. The results **shall** be analysed and reviewed to identify opportunities for improvement.	通过对服务的客户和用户进行代表性的抽样调查，服务提供方**应**按照计划的时间间隔测量客户满意度。该结果**应**用于分析和评审以识别改进的机会。
7.2 Supplier management The service provider may use suppliers to implement and operate some parts of the service management processes. An example of supply chain relationships is illustrated in Figure 3. Figure 3 — Example of supply chain relationships	**7.2供应商管理** 服务提供方可使用供应商实施和运行部分服务管理过程。图3说明了一个供应链关系的示例。 图 2 供应链关系示例
For each supplier, the service provider **shall** have a designated individual who is responsible for managing the relationship, the contract and performance of the supplier.	对于每个供应商，服务提供方**应**有一个指定的个体负责管理与供应商的关系、合同和绩效。
The service provider and the supplier **shall** agree a documented contract. The contract **shall** contain or includea reference to:	服务提供方和供应商**应**协定书面合同。合同**应**包含或包括以下引用：
a) scope of the services to be delivered by the	a) 供应商交付的服务的范围；

supplier;	
b) dependencies between services, processes and the parties;	b) 服务、过程和相关方的依赖关系；
c) requirements to be fulfilled by the supplier;	c) 供应商须满足的要求；
d) service targets;	d) 服务目标；
e) interfaces between service management processes operated by the supplier and other parties;	e) 供应商和其他方在服务管理过程运行中的接口；
f) integration of the supplier's activities within the SMS;	f) 将供应商活动整合至服务管理体系（SMS）；
g) workload characteristics;	g) 工作量特性；
h) contract exceptions and how these will be handled;	h) 合同中的例外情形以及该如何处理例外；
i) authorities and responsibilities of the service provider and the supplier;	i) 服务提供方和供应商的权限和职责；
j) reporting and communication to be provided by the supplier;	j) 供应商提供的报告和通告；
k) basis for charging;	k) 支付基础；
l) activities and responsibilities for the expected or early termination of the contract and the transfer of services to a different party.	l) 预期的或提前结束合同和将服务传递到不同方的活动和职责。
The service provider **shall** agree with the supplier service levels to support and align with the SLAs between the service provider and the customer.	服务提供方应与供应商协定服务级别，以支持服务提供方与客户订立的SLAs，并保持一致。
The service provider **shall** ensure that roles of, and relationships between, lead and sub-contracted suppliers are documented. The service provider **shall** verify that lead suppliers are managing their sub-contracted suppliers to fulfil contractual obligations.	服务提供方应确保主供方与分包方之间的角色和关系并形成文件。服务提供方应证实主供应商为满足合同义务而对分包方进行了管理。

The service provider **shall** monitor the performance of the supplier at planned intervals. The performance **shall** be measured against service targets and other contractual obligations. Results **shall** be recorded and reviewed to identify the causes of nonconformities and opportunities for improvement. The review **shall** also ensure that the contract reflects current requirements.	服务提供方应按照计划的时间间隔监视供应商的绩效。测量的绩效应与服务目标和其他合同义务比较。其结果应被记录和评审，识别不合格的原因和改进的机会。评审应确保合同反映现实的要求。
Changes to the contract **shall** be controlled by the change management process.	合同的变更应受变更管理过程控制。
There **shall** be a documented procedure to manage contractual disputes between the service provider and the supplier.	应具备解决服务提供方和供应商合同纠纷的书面的程序。
NOTE 1 services.　The scope of the supplier management process excludes the selection of suppliers and the procurement of	注1：供应商管理的范围不包括功放的选择和服务的采购。
NOTE 2　Further examples of supply chain relationships are shown in ISO/IEC TR 20000-3.	注2：更进一步的供应链关系的示例见ISO/IEC TR 20000-3。
8 Resolution processes **8.1 Incident and service request management** There **shall** be a documented procedure for all incidents to define: a) recording; b) allocation of priority; c) classification; d) updating of records; e) escalation; f) resolution; g) closure. There **shall** be a documented procedure for managing the fulfilment of service requests from recording to closure. Incidents and service requests	**8 解决过程** **8.1事件和服务请求管理** 应以书面程序形式对所有事件进行明确： a)　记录； b)　分配优先顺序； c)　分类； d)　记录更新； e)　升级； f)　解决； g)　关闭。 应有书面的程序管理服务请求从记录到关闭的全过程。事件和服务请

shall be managed according to the procedures.	求**应**根据该程序管理。
When prioritizing incidents and service requests, the service provider **shall** take into consideration the impact and urgency of the incident or service request.	当排定时间和服务请求的优先顺序时，服务提供方**应**考虑事件和服务请求的影响和紧急程度。
The service provider **shall** ensure that personnel involved in the incident and service request management process can access and use relevant information. The relevant information **shall** include service request management procedures, known errors, problem resolutions and the CMDB. Information about the success or failure of releases and future release dates, from the release and deployment management process, **shall** be used by the incident and service request management process.	服务提供方**应**确保涉及事件和服务请求管理流程的个人能访问和使用相关信息。相关信息**应**包括服务请求管理流程、已知错误、解决的问题和配置配置管理数据库。从发布部署管理过程得到的发布成功或失败的信息、未来的发布日期，**应**被事件和服务请求管理过程使用。
The service provider **shall** keep the customer informed of the progress of their reported incident or service request. If service targets cannot be met, the service provider **shall** inform the customer and interested parties and escalate according to the procedure.	服务提供方**应**及时向客户通告所报告的事件或服务请求的进展。如果服务目标不能满足，服务提供方**应**通知客户和相关方，并依据程序进行升级。
The service provider **shall** document and agree with the customer the definition of a major incident. Major incidents **shall** be classified and managed according to a documented procedure. Top management **shall** be informed of major incidents. Top management **shall** ensure that a designated individual responsible for managing the major incident is appointed. After the agreed service has been restored, major incidents **shall** be reviewed to identify opportunities for improvement.	服务提供方**应**与客户协定重大事件的书面化定义。重大事件**应**依据书面的程序分类和管理。重大事件**应**通知最高管理者。最高管理者**应**确保指定专人负责管理重大事件。当协定的服务恢复后，重大事件**应**被评审以识别改进的机会。
8.2 Problem management There **shall** be a documented procedure to identify problems and minimize or avoid the impact of incidents and problems. The procedure for problems **shall** define:	**8.2问题管理** **应**有书面的程序来识别、最小化或避免事件和问题的影响。该程序**应**定义：
a) identification;	a) 识别；

b) recording;	b) 记录；
c) allocation of priority;	c) 分配优先顺序；
d) classification;	d) 分类；
e) updating of records;	e) 记录更新；
f) escalation;	f) 升级；
g) resolution;	g) 解决；
h) closure.	h) 关闭。
Problems **shall** be managed according to the procedure.	问题应根据该程序管理。
The service provider **shall** analyse data and trends on incidents and problems to identify root causes and theirpotential preventive action.	服务提供方应分析事件和问题的数据和趋势，以识别根本原因和潜在预防措施。
Problems requiring changes to a CI **shall** be resolved by raising a request for change.	问题所需的配置项（CI）变更应通过提交变更请求解决。
Where the root cause has been identified, but the problem has not been permanently resolved, the service provider **shall** identify actions to reduce or eliminate the impact of the problem on the services. Known errors**shall** be recorded.	当发现根本原因，但问题并没有彻底解决时，服务提供方应采取措施以减轻或消除问题对服务的影响。已知错误应被记录。
The effectiveness of problem resolution **shall** be monitored, reviewed and reported.	应对问题解决的有效性监视、评审和报告。
Up-to-date information on known errors and problem resolutions **shall** be provided to the incident and service request management process.	已知错误的更新信息和问题解决方案应提供给事件和服务请求管理过程。
9 Control processes **9.1 Configuration management** There **shall** be a documented definition of each type of CI. The information recorded for each CI **shall** ensureeffective control and include at least:	**9 控制过程** **9.1配置管理** 每种类型的配置项应有书面的定义。每个配置项记录的信息应确保是有效控制的，并至少包含：
a) description of the CI;	a) 配置项的描述；

b) relationship(s) between the CI and other CIs;	b)　配置项和其他配置项之间的关系；
c) relationship(s) between the CI and service components;	c)　配置项和服务组件之间的关系；
d) status;	d)　状态；
e) version;	e)　版本；
f) location;	f)　位置；
g) associated requests for change;	g)　相关的变更请求；
h) associated problems and known errors.	h)　相关的问题和已知错误。
CIs **shall** be uniquely identified and recorded in a CMDB. The CMDB **shall** be managed to ensure its reliability and accuracy, including control of update access.	配置项应是唯一可识别的，并记录在CMDB中。CMDB应管理以确保其可靠性和准确性，包括更新访问控制。
There **shall** be a documented procedure for recording, controlling and tracking versions of CIs. The degree of control **shall** maintain the integrity of services and service components taking into consideration the service requirements and the risks associated with the CIs.	应有书面的程序记录、控制和跟踪配置项的版本。考虑到服务需求和配置项的相关风险，控制程度应保证服务和服务组件的完整性。
The service provider **shall** audit the records stored in the CMDB, at planned intervals. Where deficiencies are found, the service provider **shall** take necessary actions and report on the actions taken.	按照计划的时间间隔，服务提供方应审核储存在配置管理数据库中的记录。当发现缺失时，服务提供方应采取必要的措施并报告采取的措施。
Information from the CMDB **shall** be provided to the change management process, to support the assessment of requests for change.	配置管理数据库中的信息应提供给变更管理过程，以支持对变更请求的评估。
Changes to CIs **shall** be traceable and auditable to ensure integrity of the CIs and the data in the CMDB.	对配置项的变更应是可追溯的和可审核的，以保证配置和配置管理数据库中数据的完整性。
A configuration baseline of the affected CIs **shall** be	部署一个发布到现实环境前，应确

taken before deployment of a release into the live environment.	定受影响配置项的配置基线。
Master copies of CIs recorded in the CMDB **shall** be stored in secure physical or electronic libraries referenced by the configuration records. This **shall** include at least documentation, licence information,software and, where available, images of the hardware configuration.	记录在配置管理数据库中配置项的主要副本**应**存储在安全的物理介质或电子库中以便于被配置记录引用。配置项至少包括文件、许可证信息、软件，如果可能的话**应**提供硬件配置图。
There **shall** be a defined interface between the configuration management process and financial asset management process.	配置管理过程和财务资产管理过程**应**有明确的接口。
NOTE The scope of the configuration management process excludes financial asset management.	注：配置管理过程不包含财务资产管理过程。
9.2 Change management A change management policy **shall** be established that defines:	**9.2变更管理** **应**建立变更管理方针，明确：
a) CIs which are under the control of change management;	a) 变更管理控制下的配置项；
b) criteria to determine changes with potential to have a major impact on services or the customer.	b) 判定变更时服务或客户有潜在重大影响的准则。
Removal of a service **shall** be classified as a change to a service with the potential to have a major impact. Transfer of a service from the service provider to the customer or a different party **shall** be classified as a change with potential to have a major impact.	删除服务**应**被分类为对服务有潜在重大影响的变更。服务从服务提供方转移到客户或不同方**应**被分类为有潜在重大影响的变更。
There **shall** be a documented procedure to record, classify, assess and approve requests for change.	**应**有书面程序记录、分类、评估和批准变更请求。
The service provider **shall** document and agree with the customer the definition of an emergency change. There **shall** be a documented procedure for managing emergency changes.	服务提供方与客户**应**书面协定紧急变更的定义。**应**有书面的程序管理紧急变更。
All changes to a service or service component **shall** be raised using a request for change. Requests for change **shall** have a defined scope.	所有对服务或服务组件的变更**应**提出变更请求。变更请求**应**有明确的

	范围。
All requests for change **shall** be recorded and classified. Requests for change classified as having the potential to have a major impact on the services or the customer **shall** be managed using the design and transition of new or changed services process. All other requests for change to CIs defined in the change management policy **shall** be managed using the change management process.	**应**对所有变更请求进行记录和分类。分类为对服务或客户有潜在重大影响的变更请求，**应**采用设计和转换新的或变更的服务过程管理。所有其他定义在变更管理方针中的配置项的变更请求**应**由变更管理过程管理。
Requests for change **shall** be assessed using information from the change management process and other processes.	**应**对变更请求进行评估，评估信息采自变更管理过程和其他过程。
The service provider and interested parties **shall** make decisions on the acceptance of requests for change. Decision-making **shall** take into consideration the risks, the potential impacts to services and the customer, service requirements, business benefits, technical feasibility and financial impact.	服务提供方和相关方**应**对变更请求做出决定。做决定**应**考虑风险、对服务和客户潜在的冲击、服务需求、业务收益、技术便利性和财务影响。
Approved changes **shall** be developed and tested.	批准的变更**应**被开发和测试。
A schedule of change containing details of the approved changes and their proposed deployment dates **shall** be established and communicated to interested parties. The schedule of change **shall** be used as the basis for planning the deployment of releases.	变更安排，包含被批准变更的细节和它们建议的部署日期，**应**被建立并通告相关方。变更安排**应**作为计划发布部署的基础。
The activities required to reverse or remedy an unsuccessful change **shall** be planned and, where possible, tested. The change **shall** be reversed or remedied if unsuccessful. Unsuccessful changes **shall** be investigated and agreed actions taken.	**应**策划取消或补救不成功变更需要的相关活动，有条件尽量进行测试。若不成功，变更**应**取消或补救。不成功变更**应**被调查并协定采取的措施。
The CMDB records **shall** be updated following the successful deployment of changes.	配置管理数据库中的记录**应**随成功部署的变更更新。
The service provider **shall** review changes for effectiveness and take actions agreed with	服务提供方**应**评审变更的有效性并与相关方协定要采取的措施。

interested parties. Requests for change **shall** be analysed at planned intervals to detect trends. The results and conclusions drawn from the analysis **shall** be recorded and reviewed to identify opportunities for improvement.	变更请求应根据计划的时间间隔分析以识别趋势。由分析得出的结果和结论应予以记录和评审以识别改进的机会。
9.3 Release and deployment management The service provider **shall** establish and agree with the customer a release policy stating the frequency and type of releases. The service provider **shall** plan with the customer and interested parties the deployment of new or changed services and service components into the live environment. Planning **shall** be coordinated with the change management process and include references to the related requests for change, known errors and problems which are being closed through the release. Planning **shall** include the dates for deployment of each release, deliverables and methods of deployment. The service provider **shall** document and agree with the customer the definition of an emergency release. Emergency releases **shall** be managed according to a documented procedure that interfaces to the emergency change procedure. Releases **shall** be built and tested prior to deployment. A controlled acceptance test environment **shall** be used for the building and testing of releases. Acceptance criteria for the release **shall** be agreed with the customer and interested parties. The release **shall** be verified against the agreed acceptance criteria and approved before deployment. If the acceptance criteria are not met, the service provider **shall** make a decision on necessary actions and deployment with interested parties.	**9.3发布和部署管理** 服务提供方应建立并与客户协定发布策略，描述发布的频率和类型。 服务提供方应与客户和相关方策划、部署新的或变更的服务和服务组件到实际环境中去。策划应与变更管理过程协调并包含对相关的变更请求、已知错误和通过该发布所关闭问题的引用。策划应包括对每个发布的部署日期、部署的可行性和部署的方法。 服务提供方应与客户协定紧急发布的书面定义。紧急发布应根据与紧急变更程序接口的书面的程序管理。 部署前，应建立和测试发布。建立和测试发布应在可控的验收测试环境下进行。 发布的验收准则应与客户和相关方协定。对比协定的验收准则，发布应被验证并在部署前获批。如果验收准则无法满足，服务提供方应与相关方决定采取的必要措施及部署。

The release **shall** be deployed into the live environment so that the integrity of hardware, software and other service components is maintained during deployment of the release.	发布**应**部署至实际环境中，并在发布部署中保持硬件、软件和其他服务组件的完整性。
The activities required to reverse or remedy an unsuccessful deployment of a release **shall** be planned and, where possible, tested. The deployment of the release **shall** be reversed or remedied if unsuccessful. Unsuccessful releases **shall** be investigated and agreed actions taken.	**应**对撤销或修复不成功发布的部署所需的活动进行策划，有可能的话，进行测试。如果不成功，**应**撤销或修复发布部署。不成功的发布**应**予以调查并采取协定的措施。
The success or failure of releases **shall** be monitored and analysed. Measurements **shall** include incidents related to a release in the period following deployment of a release. Analysis **shall** include assessment of the impact of the release on the customer. The results and conclusions drawn from the analysis **shall** be recorded and reviewed to identify opportunities for improvement.	**应**对成功和失败的发布进行测量和分析。测量内容**应**包括发布之后某段时间内与发布有关的事件。分析**应**包括发布对客户影响的评估。**应**对分析的结果和结论进行记录并评审以识别改进的机会。
Information about the success or failure of releases and future release dates **shall** be provided to the change management process, and incident and service request management process.	有关发布成功或失败和未来发布日期的信息，**应**提供给变更管理过程、事件和服务请求管理过程。
Information **shall** be provided to the change management process to support the assessment of the impact of requests for change on releases and plans for deployment.	信息**应**提供给变更管理过程，以支持针对发布的变更请求和对策划的部署的评估。

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