



IT Service Management Internal
Auditor based on ISO/IEC 20000

Preparation Guide

Edition 201607



**IT SERVICE
MANAGEMENT**
ISO
IEC **20000**

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1. Overview

EXIN IT Service Management Internal Auditor based on ISO/IEC 20000 (ITSM201A.EN)

Summary

The main objective of the Preparation Guide is to identify the exam subjects, requirements and specifications, and the target audience for the IT Service Management Internal Auditor for ISO/IEC 20000 based on the best practices described in ISO 19011.

IT service management describes the design, delivery, support and improvement of IT related services to support business outcomes. The international standard for IT Service Management, ISO/IEC 20000:2011, makes it clear what is essential: one must define and agree to service requirements, plan resources to meet business outcomes, support service delivery and provide value for the customer and the service provider, this in an integrated way called Service Management System (SMS).

The Internal Auditor Certificate in ITSM focusing on ISO/IEC 20000 and based on the best practices as described in ISO 19011, is designed to provide practical knowledge of the internal audit cycle (also called first party audit), in IT service management. The course also covers the knowledge and techniques for supplier audits (also called a second party audit) as well as registration audits (also known as third party audits). Understand this course will primarily focus on the skill set of the internal auditor, either as a lead auditor or as a member of the auditing team. Individuals who wish to perform registration audits will need to contact a Registered Certification Body (RCB) and fulfill their specific requirements.

Successful candidates will receive an internationally recognized confirmation of their ability to apply auditing knowledge and competencies in an IT service management environment based on ISO/IEC 20000:2011.

The topics of the Internal Auditor course include:

- How to set up a plan for auditing an ITSM system based on the ISO/IEC 20000 series of standards
- How to prepare and execute audits
- How to prepare the organization for external audits
- How to guide a team of internal auditors and technical experts
- How to document, rate and interpret audit results
- How to identify and report nonconformities
- How to communicate audit results accurately and succinctly to interested parties
- How to monitor the correction of nonconformities
- How to guide the organization in preventive and corrective actions

Context



The certificate EXIN IT Service Management Internal Auditor based on ISO/IEC 20000 relates to the IT Service Management qualification scheme.

Target group

The program targets personnel of internal as well as external service providers in an ISO/IEC 20000 environment or having interest in these standards, even though their IT organization is not, not yet or have no intention of being certified under ISO/IEC 20000-1:2011 or ISO/IEC 9001:2008.

Specific roles that would benefit from the Auditor course could include:

- Auditor or assessor
- Customer representatives, to better understand the need for audit activities by the Service Provider
- Top Management and their direct reports to provide needed leadership in the field of audits
- Managers/directors responsible for the coordination of services
- Interested parties representatives
- Suppliers
- Project specialists
- Consultants who offer their services as specialists in ITSM, as they need to know the audit methods
- Academics who teach ITSM and would need to include auditing in their curriculum
- Individuals who want to demonstrate competencies in ITSM
- Auditors of Quality Service Systems who want to expand their horizon into Service management

Requirements to receive ITSMIA certificate:

- The Foundation certificate in IT Service Management based on ISO/IEC 20000.
- The successful completion of accredited training for the IT Service Management Internal Auditor based on ISO/IEC 20000; this includes the successful completion of four designated Practical Assignments as assessed by an EXIN accredited training provider
- Successful completion of the exam IT Service Management Internal Auditor based on ISO/IEC 20000



Examination details

Examination type:	Computer-based or paper-based multiple-choice questions
Number of questions:	60
Pass mark:	65% (39 of 60)
Open book/notes:	no
Electronic equipment permitted:	no
Time allotted for examination:	120 minutes

The Rules and Regulations for EXIN's examinations apply to this exam.

Sample questions

A set of 30 sample questions is available through your Accredited Training Provider.

Training

Group size

The maximum number of course participants is 16.

(This is not applicable to online- or computer based training.)

Contact hours

The minimum number of contact hours for the course is 21 (12 of which is dedicated to the completion of exercises). This number includes group assignments, exam preparation and short coffee breaks. Not included are: homework, the logistics related to the exam session, the exam session and lunch breaks.

Indication study load

120 hours

Training provider

A list of accredited training providers may be found on EXIN's website

<http://www.exin.com>.

2. Exam Requirements

The exam requirements are specified in the exam specifications. The following table lists the topics of the module (exam requirements). The weight of the different topics in the exam is expressed as a percentage of the total.

Exam requirement	Exam specification	Weight (%)
1. Planning the Audit Program		20
	1.1 Propose a service management system audit program	5
	1.2 Document audit roles and responsibilities	5
	1.3 Document audit procedures	5
	1.4 Prepare the organization for internal and external (second and third party) audits	5
2. Managing Audits		40
	2.1 Execute internal audits	20
	2.2 Guide the internal auditors team and technical experts (defined by 19011)	15
	2.3 Guide the organization during external audits	5
3. Communicate & Address Audit Results		30
	3.1 Communicate the results of internal audits with interested parties and help in the preparation of management reviews with the Service Manager	10
	3.2 Communicate the results of external audits with interested parties	5
	3.3 Monitor the follow-up and closure of non-conformities	10
	3.4 Analyze audit efficiency	5
4. Improving the Audit Program		10
	4.1 Improve the audit program	10
Total		100

Exam specifications

1. Planning the audit program (20%)

1.1 Propose a service management system audit program

The candidate can:

- 1.1.1 Set the criteria for a service management system audit program
- 1.1.2 Propose the scope of a service management system audit program
- 1.1.3 Consider integrating scopes of other management systems in the organization (ISO 9001, ISO/IEC 27001, COBIT®, etc.)
- 1.1.4 Define the frequency of service management system audits
- 1.1.5 Set the criteria for non-planned audits (e.g., after a major incident, invocation of the continuity plan, etc...)

1.2 Document audit roles and responsibilities

The candidate can

- 1.2.1 Document the required competencies
- 1.2.2 Perform a gap analysis of required and acquired competencies
- 1.2.3 Propose a company training program for internal auditors

1.3 Document audit procedures

The candidate can

- 1.3.1 Design and document audit procedures and forms
- 1.3.2 Improve audit procedures and forms, as needed or dictated

1.4 Prepare the organization for internal and external audits

The candidate can

- 1.4.1 Communicate the internal audit program with interested parties
- 1.4.2 Communicate the external audit program with interested parties

2. Managing audits (40%)

2.1 Execute audits

The candidate can

- 2.1.1 Prepare, conduct and report on documentation audits
- 2.1.2 Prepare, conduct and report on internal audits
- 2.1.3 Prepare, conduct and report on second party audits

2.2 Guide the internal auditor team

The candidate can

- 2.2.1 Guide the internal auditor team in preparing, conducting and reporting on internal audits
- 2.2.2 Guide the internal auditor team in preparing, conducting and reporting on second party audits

2.3 Guide the organization during external audits

The candidate can

- 2.3.1 Prepare the organization for external audits
- 2.3.2 Support the organization during external audits

3. Communicate & Address Audit Results (30%)

3.1 Communicate the results of internal audits with interested parties

The candidate can

- 3.1.1 Communicate the results of internal audits with auditees and managers
- 3.1.2 Prepare a Management Review

3.2 Communicate the results of external audits with interested parties

- 3.2.1 Communicate the results of external audits with interested parties

3.3 Communicate the results of second party audits with interested parties

- 3.3.1 Communicate the results of second party audits with interested parties

3.4 Monitor the follow-up and closure of non-conformities

The candidate can

3.4.1 Maintain a database of audit results

3.4.2 Follow-up non-conformities

3.5 Guide the organization regarding preventive and corrective actions

The candidate can

3.5.1 Identify and follow-up corrective actions

3.5.2 Identify and follow-up preventive actions

4. Improving the audit program (10%)

4.1 Improve the audit program

The candidate can

4.1.1 Identify and implement improvements in the audit program

3. List of basic concepts

This chapter contains the terms with which candidates should be familiar. Terms are listed in alphabetical order. When the term is defined in a standard, the reference is indicated

Please note that knowledge of these terms alone does not suffice for the exam; the candidate must understand the concepts and be able to provide examples.

Accreditation	Effectiveness ISO 20000-1:2011,3.9
Audit conclusion ISO 19011:2011, 3.5	Ethical behavior
Audit criteria ISO 19011:2011, 3.2	Evaluation
Audit evidence, ISO 19011:2011, 3.3	External audit ISO 19011:2011, Table1
Audit finding ISO 19011:2011, 3.4	First-Party-Audit ISO 19011:2011, Table1
Audit interview	Independence
Audit ISO 19011:2011, 3.1	Internal audit ISO 19011:2011, Table1
Audit methods / techniques	Interview ISO 19011:2011, Table 2
Audit objectives	ISO 19011:2011
Audit plan ISO 19011:2011, 3.15	ISO 9001:2008
Audit process	ISO/IEC 20000-Part 1:2011
Audit program ISO 19011:2011, 3.13	ISO/IEC 20000-Part 2:2012
Audit record	ISO/IEC 27001:2005
Audit report	Lead Auditor
Audit scope ISO 9000:2005, 3.9.13	Management review
Audit team ISO 19011:2011, 3.9	Nonconformity ISO 19011:2011, 3.19, IS O 19011:2011,
Audit team leader	Objective evidence ISO 9000:2005, 3.8.1
Audited organization	Observation ISO 19011:2011, Table 2
Auditor ISO 19011:2011, 3.8	Opening meeting
Certification	PDCA- cycle
Checklist	Recommendation
Closing meeting	Record ISO 19011:2011, 3.22
Compliance	Registered Certified Body (RCB)
Conformity ISO 19011:2011, 3.18	Review ISO 9000:2005, 3.8.7
Continual improvement ISO 20000-1:2011, 3.5	Scope
Continual Improvement, ISO 9000:2005, 3.2.13	Scoping statement
Corrective and preventive actions ISO 20000-1:2011, 3.6	Second-Party-Audit ISO 19011:2011, Table 1
Document ISO 20000-1:2011,3.8	Service Management System
Document review	Technical expert ISO 19011:2011, 3.10
	Third-Party-Audit ISO 19011:2011, Table 1
	Top management

4. Literature

- A** ISO
ISO 19011:2011(E) Guidelines for auditing management systems
Switzerland, ISO, 2011
ISO 19011:2011(E)
- B** ISO/IEC
ISO/IEC 20000-1:2011(E) Part 1: Service management system requirements
Switzerland, ISO, 2011
ISO/IEC 20000-1:2011(E)
- C** ISO/IEC
ISO/IEC 20000-2:2012(E) Part 2: Guidance on the implementation of service management systems
Switzerland, ISO, 2012
ISO/IEC 20000-2:2012(E)

Additional Literature

- D** Dr Jenny Dugmore and Shirley Lacy
Introduction to the ISO/IEC 20000 Series: IT Service Management
United Kingdom, BSi, 2011
ISBN-10: 0580728463
ISBN-13: 978-0580728464
- E** Michael Kunas
Implementing Service Quality based on ISO/IEC 20000, 3rd Edition
United Kingdom, IT Governance Publishing, 2012
ISBN 978 1 84928 442 4
e-pdf ISBN 978 1 84928 444 8
- F** Mart Rovers
ISO/IEC 20000:2011: A Pocket Guide, 2nd Edition
The Netherlands, Van Haren Publishing, 2013
ISBN 978 90 8753 726 5
e-pdf ISBN 978 90 8753 787 6
e-pub ISBN 978 90 8753 9733
- G** James Persse
The IT Service Management Process Manual
The Netherlands, Van Haren Publishing, 2012
eBook ISBN 978-90-8753-018-1

Overview of the literature

Exam specification	Literature
1.1	A Chapters 1-5 B/C Chapters 1-4
1.2	A Chapter 7 B/C Chapters 4-9
1.3	A Chapters 5-6 B/C Chapters 4-9
1.4	A Chapter 6 B/C Chapters 4-9
2.1	A Chapter 6 B/C Chapters 4-9
2.2	A Chapter 6 B/C Chapters 4-9
2.3	A Chapter 6 B/C Chapters 4-9
3.1	A Chapter 6 B/C Chapters 4-9
3.2	A Chapter 6 B/C Chapters 4-9
3.3	A Chapter 6 B/C Chapters 4-9
3.4	A Chapter 6 B/C Chapters 4-9
3.5	A Chapter 6 B/C Chapters 4-9
4.1	A Chapter 5 B/C Chapters 4-9

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