# Annex C: Surveillance Plan

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| **Surveillance Plan ISO/IEC 20000-1:2018 and ISO 9001:2015** | | | | | | | | | | | |
| **1**: Initial Audit  **2:** Surveillance 1 Audit  **3**: Surveillance 2 Audit  **4**: Recertification Audit | | | | **Plan** | | | | | | | |
| **1**  **(202X)** | | **2**  **(202X)** | | **3**  **(202X)** | | **4**  **(202X)** | |
| **4 Context of the organization** | | | | | | | | | | | |
| **4.1** | Understanding the organization and its context | | |  | |  | |  | |  | |
| **4.2** | Understanding the needs and expectations of interested parties | | |  | |  | |  | |  | |
| **4.3** | Determining the scope of the service management system (ITSMS) | | |  | |  | |  | |  | |
| Determining the scope of the quality management system (QMS) | | |
| **4.4** | Service management system (ITSMS) | | |  | |  | |  | |  | |
| Quality management system and its processes (QMS) | | |
| **5 Leadership** | | | | | | | | | | | |
| **5.1** | Leadership and commitment | | |  | |  | |  | |  | |
| **5.2** | Policy | | |  | |  | |  | |  | |
| **5.3** | Organizational roles, responsibilities and authorities | | |  | |  | |  | |  | |
| **6 Planning** | | | | | | | | | | | |
| **6.1** | Actions to address risks and opportunities | | |  | |  | |  | |  | |
| **6.2** | Service management objectives and planning to achieve them (ITSMS) | | |  | |  | |  | |  | |
| Quality objectives and planning to achieve them (QMS) | | |
| **6.3** | Plan the service management system (ITSMS) | | |  | |  | |  | |  | |
| Planning of changes (QMS) | | |
| **7 Support of the service management system/Support** | | | | | | | | | | | |
| **7.1** | Resources | | |  | |  | |  | |  | |
| **7.2** | Competence | | |  | |  | |  | |  | |
| **7.3** | Awareness | | |  | |  | |  | |  | |
| **7.4** | Communication | | |  | |  | |  | |  | |
| **7.5** | Documented information | | |  | |  | |  | |  | |
| **7.6** | Knowledge | | |  | |  | |  | |  | |
| **8 Operation of the service management system/Operation** | | | | | | | | | | | |
| **8.1** | Operational planning and control | | |  | |  | |  | |  | |
| **8.2** | Service delivery (ITSMS) | | |  | |  | |  | |  | |
| Requirements for products and services (QMS) | | |
| **8.3** | Relationship and agreement (ITSMS) | | |  | |  | |  | |  | |
| Design and development of products and services (QMS) | | |
| **8.4** | Supply and demand (ITSMS) | | |  | |  | |  | |  | |
| Control of externally provided processes, products and services (QMS) | | |
| **8.5** | Service design, build and transition (ITSMS) | | |  | |  | |  | |  | |
| Production and service provision (QMS) | | |
| **8.6** | Resolution and fulfilment (ITSMS) | | |  | |  | |  | |  | |
| Release of products and services (QMS) | | |
| **8.7** | Service assurance (ITSMS) | | |  | |  | |  | |  | |
| Control of nonconforming outputs (QMS | | |
| **9 Performance evaluation** | | | | | | | | | | | |
| **9.1** | Monitoring, measurement, analysis and evaluation | | |  | |  | |  | |  | |
| **9.2** | Internal audit | | |  | |  | |  | |  | |
| **9.3** | Management review | | |  | |  | |  | |  | |
| **9.3** | Service reporting | | |  | |  | |  | |  | |
| **10 Improvement** | | | | | | | | | | | |
| **10.1** | | Nonconformity and corrective action (ITSMS) | | |  | |  | |  | |  |
| General (QMS) | | |
| **10.2** | | Continual improvement (ITSMS) | | |  | |  | |  | |  |
| Nonconformity and corrective action (QMS) | | |
| **10.3** | | Continual improvement (QMS) | | |  | |  | |  | |  |
| **11 Additional requirements** | | | | | | | | | | | |
|  | | Use of Logo | | |  | |  | |  | |  |
|  | | List of documents included in the audited MS | | |  | |  | |  | |  |
| **Notes and comments:** | | |  | | | | | | | | |

*For completed visits, mark “X” in the box for each clause/process covered.*

*For planned visits, mark “O” in the box for each clause/process to be covered.*