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## **ACS Trust Mark Scheme Requirements**

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**Title**

ACS Trust Mark Scheme Requirements

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## 1 Introduction

The Australian Computer Society (ACS) is the association for Australia's information and communications technology (ICT) profession. ACS represents all ICT practitioners in business, government and education.

The ACS objectives include:

- the advancement of professional excellence in information and communications technology and
- promotion, development and monitoring of competence in the practice of information and communication technology by persons and organisations.

To achieve these objectives and to enable differentiation in the market of its members that provide information technology services, the ACS has established the ACS Trust Mark Scheme (the 'Scheme').

This Scheme is for the registration of organisations that provide information technology services. To be registered, organisations must demonstrate that their service fulfils a set of requirements as outlined in this document, the *ACS Trust Mark Scheme Requirements*.

The Scheme is specifically aimed at small or medium sized organisations (SMEs) that provide IT services to their customers. Registration under the Scheme represents an independent assurance that these organisations have implemented and maintain a set of procedures and controls as part of their commitment to meeting the service requirements of their customers.

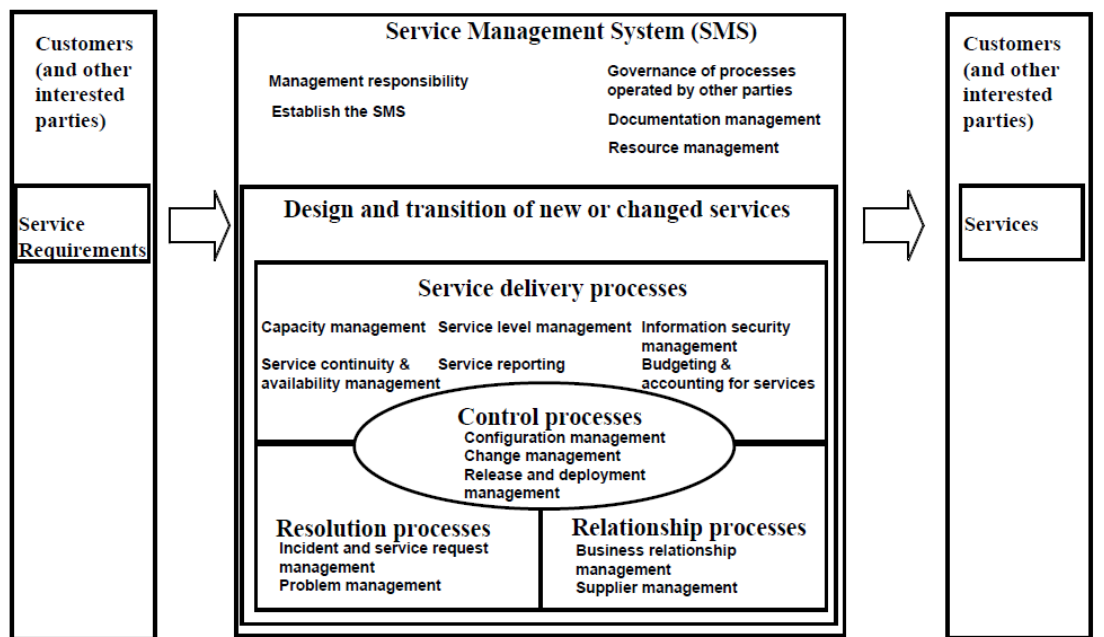
Registration under this Scheme can be used as a stepping stone towards obtaining certification to the requirements in AS/ISO 20000.1:2013, *Information technology - Service management - Service management system requirements*.

This document contains the specified requirements that Applicant or Approved Organisations need to fulfil on an ongoing basis. It is the responsibility of the Applicant or Approved Organisation to demonstrate that they are fulfilling these requirements, which in addition to compliance with the ACS Trust Mark Scheme Rules, may result in the organisation being granted registration.

## 2 Service management requirements

The service management requirements in this document are structured in way similar to AS ISO/IEC 20000.1:2013 *Information technology - Service management - Service management system requirements*. Appendix 2 provides a correlation between AS ISO 20000.1 and ACS Trust Mark requirements.

The following diagram is used in AS ISO/IEC 20000.1:2013 to illustrate the concept of a service management requirements. It is similar to other diagrams explaining a management systems approach to organisational management (e.g. ISO 9001 for quality management systems).



In AS ISO/IEC 20000.1:2013, Clause 4 *General requirements* encompasses the confirmation of service requirements with the customer on the left-hand side of the above diagram, the overall establishment and use of the service management system to fulfil those requirements in the centre of the diagram, and the delivery of those services at the right-hand side of the diagram.

Within the service management system (SMS) are sets of particular processes that all contribute to the service being provided in a controlled and consistent manner. These sets of processes include the following clauses in AS ISO/IEC 20000.1:2013:

- Clause 5 *Design and transition of new or changes services*;
- Clause 6 *Service delivery processes*
- Clause 7 *Relationship processes*
- Clause 8 *Resolution processes*; and
- Clause 9 *Control processes*.

In comparison, the ACS Trust Mark Scheme Requirements in this document are not as comprehensive or onerous as those contained in AS ISO/IEC 20000.1:2013, and as such are expected to be relevant and manageable for small to medium sized information technology service organisations.

<sup>1</sup> AS ISO/IEC 20000.1:2013 *Information technology - Service management - Service management system requirements*

For those sets of requirements that are contained in the ACS Trust Mark Scheme Requirements, the following three subsections are provided:

- a) **Assessment Criteria** – which is the performance statement the Applicant or Approved Organisation must demonstrate conformity with;
- b) **Information required at the time of application** – which provides a list of relevant information that should be supplied at the time of the application, and updated periodically if changed; and
- c) **Items for review during the desk top audit** – specific guidance to both Approved Auditors and Applicant and Approved Organisations on what should be considered when undertaking the desk top audit.

For convenience, ACS has collated all the 'information required at the time application' listed in this document onto a separate checklist for reference.

In accordance with the Scheme Rules, Applicant and Approved Organisations must demonstrate ongoing fulfilment of the requirements in this document. Evidence to demonstrate conformity with the specified requirements may exist in the form of documents or records, in any type, form or media format.

Examples of such documents and records include:

- information provided on websites;
- service management policies, objectives and plans;
- process and procedure documents;
- a catalogue of services;
- service documents including designs, requirements specifications, Service Level Agreements, acceptance criteria and service reviews;
- contractual documents, including specification of requirements and change control;
- audit planning activities and reports; and
- documents describing or associated with a particular change, such as change planning activities.

### 3 Terms and definitions

Under this Scheme the following terms and definitions apply:

ACS	Australian Computer Society Incorporated (ACT) ARBN 160 325 931.
ACS Trust Mark	A mark owned by the Scheme Owner for representing to the market that the Approved Organisation has a registered service management system under the Scheme.
ACS Trust Mark Scheme Requirements	Requirements for information technology service management systems established by the ACS.
ACS Trust Mark Scheme Rules	The rules of the administration and operation of the ACS Trust Mark Scheme.
Appeal	A documented objection to a registration decision of an Approved Provider.
Applicant Organisation	Any legal entity that has submitted an application to be approved pursuant to the Scheme.
Application Form	A documented form (in electronic or hard copy format) prescribed from time-to-time by the Scheme Owner listing all the information and associated documentation that must be completed by the Applicant Organisation and submitted to an Approved Provider.
Approved Auditor	A person approved by the Scheme Owner to undertake audits pursuant to the Scheme Rules.
Approved Organisation	Any legal entity that has been recognised pursuant to the Scheme.
Approved Provider	Any organisation approved by the Scheme Owner to carry out activities pursuant to the Scheme Rules.
Authorised Representative	A person that is nominated by the Scheme Owner, Approved Provider, Applicant or Approved Organisation that is the formal contact point and whose up-to-date contact details are maintained on the Scheme Directory.
Complaint	A documented concern about the performance of the Scheme Owner, Approved Provider, Approved Auditor or other person affecting the Scheme, or about an Applicant or Approved Organisation.
Scheme	The ACS Trust Mark Scheme.
Scheme Directory	A directory that is owned by the Scheme Owner that lists all Applicant and Approved Organisations and gives the current status of registration and details of certificates.
Scheme Requirements	The set of specified requirements set by the Scheme Owner and revised from time-to-time, for which Organisations must demonstrate their fulfilment of in order to be granted or maintain registration.
Scheme Owner	Australian Computer Society Incorporated (ACT) ARBN 160 325 931.
Scope of Registration	A specific type of information technology service as defined in the ACS Trust Mark Requirements for which registration may be applied for and granted.

## **4 General requirements**

### **4.1 Management responsibility**

#### **4.1.1 Management commitment**

##### **Assessment Criteria**

The service provider shall demonstrate their management commitment by having:

- a) a description of the process it undertakes when providing its information technology services.

##### **Information required at the time of application**

The following information is required at the time of application:

- a) description of the service delivery process, from the time of first contact with the customer through to completion of the project or any ongoing service level agreement.

##### **Items for review in the audit**

Review and confirm the adequacy of submitted evidence in terms of:

- a) demonstrating the service provider has identified its service delivery process and can describe it adequately.

#### **4.1.2 Authority, responsibility and communication**

##### **Assessment Criteria**

The service provider shall demonstrate that management have defined and allocated responsibilities for service management and communication.

##### **Information required at the time of application**

The following information is required at the time of application:

- a) an identification of the responsibilities for service management (e.g. delegations register or job descriptions).

##### **Items for review in the audit**

Review and confirm the adequacy of submitted evidence in terms of:

- a) identified responsibilities for service management.

### **4.2 Governance of processes operated by other parties**

##### **Assessment Criteria**

The service provider shall demonstrate that they have identified and have agreements in place to adequately control processes operated by other parties, including subcontractors.

##### **Information required at the time of application**

The following information is required at the time of application:

- a) identification of the processes related to service provision that are operated by other parties; and
- b) copies of relevant agreements.



**Items for review in the audit**

Review and confirmation of the adequacy of submitted evidence in terms of:

- a) controlling processes operated by other parties as part of service provision by the service provider.

**4.3 Documentation management**

**4.3.1 Establish and maintain documents**

**Assessment Criteria**

The service provider shall demonstrate that they have documents and records governing their service management processes (i.e. service delivery), including a method by which versions of these documents and records are controlled.

**Information required at the time of application**

The following information is required at the time of application:

- a) procedure or method for the control of documents and records;
- b) other documentation illustrating the control of service delivery activities, such as service specifications, service management plans or service level agreements (SLAs) (if any).

**Items for review in the audit**

Review and confirmation of the adequacy of submitted evidence in terms of:

- a) demonstrating documents and records are controlled; and
- b) service delivery to clients is achieved through the use of adequate documentation, such as documented service specifications, service management plans and service level agreements (SLAs), where relevant.

**4.4 Resource management**

**4.4.1 Provision of resources**

**Assessment Criteria**

The service provider shall demonstrate that they have made a determination of the human, technical, information and financial resources they need to provide their services.

**Information required at the time of application**

The following information is required at the time of application:

- a) evidence of the determination and provision of human, technical, information and financial resources they need to provide their services, e.g. a budget.

**Items for review in the audit**

Review and confirmation of the adequacy of submitted evidence in terms of:

- a) identification of human, technical, information and financial resources that are needed to provide the services.

#### **4.4.2 Human resources**

##### **Assessment Criteria**

The service provider shall demonstrate that they have determined the competence of personnel required to delivery their services within the defined scopes of registration as listed in Appendix 1, and have undertaken training where necessary.

##### **Information required at the time of application**

The following information is required at the time of application:

- a) competency analysis (if any);
- b) position descriptions relevant to service delivery that include the competencies required; and
- c) examples of training records.

##### **Items for review in the audit**

Review and confirmation of the adequacy of submitted evidence in terms of:

- a) confirming competency requirements are described;
- b) that assessment of competence has been undertaken; and
- c) that training is offered to improve competency where required.

## 5 Service delivery processes

### 5.1 Service level agreement

#### Assessment Criteria

The service provider shall demonstrate that they have agreed with their client the following elements of service delivery:

- (a) a description of the services to be delivered;
- (b) agreed service targets, including:
  - i. timeframes for service delivery;
  - ii. service continuity and availability requirements (if any)
  - iii. price;
- (c) arrangements for IT security; and
- (d) adherence to the ACS code of practice for information technology professionals.

#### Information required at the time of application

The following information is required at the time of application:

- a) examples of agreements or service level agreements in place with customers;
- b) a description of the process used to monitor performance against prescribed service targets.

#### Items for review in the audit

Review and confirmation of the adequacy of submitted evidence in terms of:

- a) the examples of agreements and service level agreements cover at least the items in the assessment criteria; and
- b) there is a process for monitoring performance against service targets.

### 5.2 Information security management

#### 5.2.1 Information security policy

#### Assessment Criteria

The service provider shall demonstrate that they have and communicate an information security policy taking into consideration the service requirements, statutory and regulatory requirements and contractual obligations, and undertake information security risk assessments at planned intervals.

#### Information required at the time of application

The following information is required at the time of application:

- a) a copy of the information security policy; and
- b) a schedule of risk assessments at planned intervals.

#### Items for review in the audit

Review and confirmation of the adequacy of submitted evidence in terms of:

- a) the existence of an information security policy; and
- b) implementation of information security risk assessments in accordance with the schedule.

## 5.2.2 Information security controls

### Assessment Criteria

The service provider shall demonstrate that they have documented and effective information security controls.

### Information required at the time of application

The following information is required at the time of application:

- a) a description of information security controls; and
- b) a description of the process that is used to ensure the controls are effective.

### Items for review in the audit

Review and confirmation of the adequacy of submitted evidence in terms of:

- a) there are documented controls, and there is a process to ensure their effectiveness.

## 6 Relationship processes

### 6.1 Business relationship management

#### Assessment Criteria

The service provider shall demonstrate that is:

- a) a dedicated individual who is responsible for managing the customer relationship and customer satisfaction;
- b) a documented service complaint procedure and an agreed definition with customers of what constitute a service complaint; and
- c) a process to measure customer feedback at planned intervals.

#### Information required at the time of application

The following information is required at the time of application:

- a) a list of customers and allocated persons that are responsible for business relationship management;
- b) a documented service complaint procedure;
- c) examples of complaints received and how they have been dealt with; and
- d) a schedule of planned activities to obtain customer feedback activities.

#### Items for review in the audit

Review and confirmation of the adequacy of submitted evidence in terms of:

- a) the service provider has allocated a person responsible for business relationship management for each customer;
- b) that there is a documented service complaint procedure and the examples of complaints provided demonstrate adherence to this procedure; and
- c) that customer feedback is actually being obtained in accordance with the schedule.

## **7 Resolution processes**

### **7.1 Incidents, problems and service request management**

The service provider shall demonstrate that they have a documented procedure for dealing with incidents, problems and service requests, and for identifying and managing errors and problems.

#### **Information required at the time of application**

The following information is required at the time of application:

- a) a copy of the procedure;
- b) examples of the procedure being applied.

#### **Items for review in the audit**

Review and confirmation of the adequacy of submitted evidence in terms of:

- a) the existence of the procedure; and
- b) the examples provided show the procedure has been implemented and followed.

## **8 Control processes**

### **8.1 Release and deployment management**

#### **Assessment Criteria**

The service provider shall demonstrate that they have a procedure for release and deployment that includes at least:

- a) agreement of release acceptance criteria with the customer and interested parties;
- b) frequency and type of releases; and
- c) definitions and conditions for emergencies releases.

#### **Information required at the time of application**

The following information is required at the time of application:

- a) a copy of the release and deployment policy; and
- b) examples of release and deployment.

#### **Items for review in the audit**

Review and confirmation of the adequacy of submitted evidence in terms of:

- a) existence of the release and deployment policy; and
- b) the policy's implementation and use based on the examples provided.

## Appendix 1 Scope of registration

Under this Scheme registration may be granted with the following scopes:

Registration scope	Scope description
Applications	Development and management of applications
Cloud computing	Advice and provision of cloud computing solutions
Cyber security	Advice and provision of cyber security solutions
Managed services	Advice and provision of managed services
Mobility	Advice and provision of mobility solutions
Websites	Development and management of websites



## Appendix 2 Correlation of AS ISO 20000.1 and ACS Trist Mark requirements

ISO 20000.1 requirements		ACS Trust Mark requirements	
4	General requirements	4	General requirements
4.1	Management responsibility	4.1	Management responsibility
4.1.1	Management commitment	4.1.1	Management commitment
4.1.2	Service management policy	-	-
4.1.3	Authority, responsibility and communication	4.1.2	Authority, responsibility and communication
4.1.4	Management representative	-	-
4.2	Governance of processes operated by other parties	4.2	Governance of processes operated by other parties
4.3	Documentation management	4.3	Documentation management
4.3.1	Establish and maintain documents	4.3.1	Establish and maintain documents
4.3.2	Control of documents	-	-
4.3.3	Control of records	-	-
4.4	Resource management	4.4	Resource management
4.4.1	Provision of resources	4.4.1	Provision of resources
4.4.2	Human resources	4.4.2	Human resources
4.5	Establish and improve the SMS	-	-
4.5.1	Define scope	-	-
4.5.2	Plan the SMS (Plan)	-	-
4.5.3	Implement and operate the SMS (Do)	-	-
4.5.4	Monitor and review the SMS (Check)	-	-
4.5.5	Maintain and improve the SMS (Act)	-	-
5	Design and transition of new or changed services	-	-
5.1	General	-	-

ISO 20000.1 requirements		ACS Trust Mark requirements	
5.2	Plan new or changed services	-	-
5.3	Design and development of new or changed services	-	-
5.4	Transition of new or changed services	-	-
6	Service delivery processes	5	Service delivery processes
6.1	Service level agreement	5.1	Service level agreement
6.2	Service reporting	-	-
6.3	Service continuity and availability requirements	-	-
6.3.1	Service continuity and availability requirements	-	-
6.3.2	Service continuity and availability plans	-	-
6.3.3	Service continuity and availability monitoring and testing	-	-
6.4	Capacity management	-	-
6.5	Information security management	5.2	Information security management
6.5.1	Information security policy	5.2.1	Information security policy
6.5.2	Information security controls	5.2.2	Information security controls
6.5.3	Information security changes and incidents	-	-
7	Relationship processes	6	Relationship processes
7.1	Business relationship management	6.1	Business relationship management
7.2	Supplier management		
8	Resolution processes	7	Resolution processes
8.1	Incident and service request management	7.1	Incidents, problems and service request management
8.2	Problem management		
9	Control processes	8	Control processes
9.1	Configuration management	-	-



ISO 20000.1 requirements		ACS Trust Mark requirements	
9.2	Change management	-	-
9.3	Release and deployment management	8.1	Release and deployment management