



Exam requirements

Internal Auditor Certificate in IT Service Management according to ISO/IEC 20000

Publication date 1-1-2010

Start date 1-1-2010

Summary The Internal Auditor Certificate in ITSM according to ISO/IEC 20000 is designed to provide practical knowledge of the audit cycle. Although the course is expanding on internal and external audits, it does not prepare candidates for processing certification-audits on behalf of accredited certification authorities.

The Internal Auditor qualification provides guidance on:

- How to plan and prepare audits for assessing ITSM systems and ITSM processes
- How to execute internal audits
- How to document, rate and interpret audit results
- How to identify deviations
- How to control the correction of nonconformities

Target group The program is aimed at those personnel of internal as well as external service providers in an ISO/IEC 20000 defined role, or having interest in these standards, although their IT-organization is not (yet) ISO/IEC 20000-1:2005 (or ISO/IEC 9001:2008) certified. The course is especially referring to management and staff of all corporate divisions, particularly quality management officers and individuals interested in performing audits.

Context The Internal Auditor Certificate in IT Service Management according to ISO/IEC 20000 is part of the ISO/IEC 20000 Qualification Program, which covers a series of exams that are aligned with the various roles in IT Service Management.

Prerequisites

- The Foundation Certificate in ITSM according to ISO/IEC 20000
- Either
- The Professional Certificate Management and Improvement of ITSM processes according to ISO/IEC 20000
- Two additional Professional Certificates in ITSM according to ISO/IEC 20000

Or:

- The Associate Consultant/Auditor Certificate in ITSM according to ISO/IEC 20000

The candidate should have attended an accredited training course Internal Auditor in IT Service Management according to ISO/IEC

20000, having accomplished successfully the practical assignments in the course.

Exemption	None																		
Practical assignment	The candidate should successfully have completed the practical assignments.																		
Examination details	<table><tr><td>Examination type:</td><td>Computer-based multiple response and multiple choice</td></tr><tr><td>Time allotted for examination:</td><td>105 minutes</td></tr><tr><td>Number of multiple response questions:</td><td>40 (max appr 90 marks)</td></tr><tr><td>Pass mark:</td><td>50% (of appr 90 marks)</td></tr><tr><td>Number of multiple choice questions:</td><td>20 (20 marks)</td></tr><tr><td>Pass mark:</td><td>50% (10 marks)</td></tr><tr><td>Overall pass mark:</td><td>65%</td></tr><tr><td>Open book:</td><td>no</td></tr><tr><td>Electronic equipment permitted:</td><td>no</td></tr></table>	Examination type:	Computer-based multiple response and multiple choice	Time allotted for examination:	105 minutes	Number of multiple response questions:	40 (max appr 90 marks)	Pass mark:	50% (of appr 90 marks)	Number of multiple choice questions:	20 (20 marks)	Pass mark:	50% (10 marks)	Overall pass mark:	65%	Open book:	no	Electronic equipment permitted:	no
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Sample questions	A sample exam is available through your Accredited Training Provider.																		
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Specification of the exam requirements

1. Planning Audit Programs in an ITSM environment	<ul style="list-style-type: none">1.1 Establish objectives and plans1.2 Evaluate management of audit programs
2. Implementing and managing Audit Programs and Internal Audits in an ITSM environment	<ul style="list-style-type: none">2.1 Evaluate the ITSM management system2.2 Implement an internal audit program2.3 Select Audit Teams2.4 Plan and prepare an audit2.5 Perform audit activities2.6 Evaluate findings and finalizing audits
3. Measuring, monitoring and reporting Internal Audits	<ul style="list-style-type: none">3.1 Report on the effectiveness and efficiency of the internal audit process3.2 Review general qualification requirements3.3 Review communication skills

4. Improving Internal Audits in an ITSM environment 4.1 Define and prioritize improvements for the internal audit program

List of basic concepts

This list contains the terms with which candidates should be familiar. Terms are listed in alphabetical order.

1 Planning Audit Programs in an ITSM environment (35%)

1.1 Establish objectives and plans (17.5%)

- Audit
- Auditor
- Audit team
- Audit criteria
- Audit-record
- Audit-result
- Audit conclusion
- Audited organization
- Audit customer
- Review
- Reviewer
- Scope
- ISO/IEC 20000-Part 1
- ISO/IEC 20000- Part 2
- ISO/IEC 27001
- ISO 9001:2000
- ISO 9004:2000
- IT Service Management System
- ISO 19011:2002
- Quality management system
- Continual service improvement
- Continual process improvement
- PDCA- cycle
- Audit program
- Scoping
- Scoping statement
- Scoping manual
- Audit plan
- Audit methods / techniques
- Evidence

1.2 Evaluate management of audit programs (17.5%)

- Internal audit
- External audit
- First-Party-Audit
- Second-Party-Audit
- Third-Party-Audit
- Certification
- Accreditation
- Accredited certification authority
- National accreditation authority
- TGA (Trägergemeinschaft für Akkreditierung GmbH)
- itSMF Accreditation authority in the United Kingdom

- ISO/IEC 17021 (Requirements for bodies providing audit and certification of management systems)
- ISO/IEC 17024 (General requirements for bodies operating certification of persons)
- Process audit
- Product audit
- System audit
- Compliance Audit
- Ethical behavior
- Appropriate action
- Obligation to exercise professional diligence
- Independence
- Evidence-based approach
- Verifiable audit evidence

2 Implementing and managing Audit Programs and Internal Audits in an ITSM environment (45%)

2.1 Evaluate the ITSM management system (5%)

- Audit scope
- Certification program ISO/IEC 20000
- Audit records
- Audit reports
- Audit process
- Corrective and preventive measures
- Audit follow-up reports
- Improvement measures

2.2 Implement an internal audit program (10%)

- Audit team leader
- Audit purpose

2.3 Select Audit Teams (5%)

- Lead Auditor

2.4 Plan and prepare an audit (5%)

- Questionnaire
- Checklist
- Document review

2.5 Perform audit activities (15%)

- Opening meeting
- Closing meeting
- Audit interview
- Audit finding

2.6 Evaluate findings and finalizing audits (5%)

- Evaluation
- Nonconformity
- Conformity
- Observation
- Recommendation

3 Measuring, monitoring and reporting Internal Audits (10%)

3.1 Reporting on the effectiveness and efficiency of the internal audit process (2.5%)

- Effectiveness

3.2 Review general qualification requirements (2.5%)

- Formal qualification
- Formal education
- Formal appointment
- ISO/IEC 20000 Auditor track
- ISO/IEC 20000 Consultant track
- Auditor for quality management
- itSMF

3.3 Review communications skills (5%)

- Sender
- Receiver
- Communication-square
- Friedemann Schulz von Thun Communication model
- Message
- Appeal
- Self-revealing
- Relationship
- Matter information
- Question types
- Open questions
- Closed questions
- Argument types

4 Improving internal Audits in an ITSM environment (10%)

4.1 Define and prioritize improvements for the internal audit program (10%)

- Ethical
- Open
- Diplomatic
- Attentive
- Sharp
- Manifold
- Stubborn
- Decisive
- Self-conscious
- Leadership style

Literature

Books A, B and I are in German and not available in English. The training slide set for this module contains enough information on these subjects to cover the exam requirements.

A. ISO/IEC
ISO/IEC 19011:2002(E): Guidelines for quality and/or environmental management systems auditing
Switzerland, ISO, 2002

B. B. von Hebenstreit / A. Nagel
Psychologisch richtig auditieren
TÜV Akademie – Verlag Dr. Ingo Resch, 1996
ISBN 3 930039 54 0

An article in English can be downloaded from the EXIN website:

Joan Pastor

The psychology of audit

[http://www.exin-](http://www.exin-exams.com/sitecore/shell/Controls/Rich%20Text%20Editor/~ /media/Documents/The%20Psychology%20of%20Audit%20pdf.ashx)

[exams.com/sitecore/shell/Controls/Rich%20Text%20Editor/~ /media/Documents/The%20Psychology%20of%20Audit%20pdf.ashx](http://www.exin-exams.com/sitecore/shell/Controls/Rich%20Text%20Editor/~ /media/Documents/The%20Psychology%20of%20Audit%20pdf.ashx)

- C.** Friedemann Schulz von Thun
Miteinander Reden 1
Störungen und Klärungen
Rowohlt 1995
ISBN 3 499 17489 8
Information about the Friedemann Schulz von Thun communication model in English:
<http://www.schulz-von-thun.de/buch/InneresTeamEnglisch.pdf>
- D** ISO/IEC
ISO/IEC 20000-1:2005(E) Part 1: Specification
Switzerland, ISO, 2005
- E** ISO/IEC
ISO/IEC 20000-2:2005(E) Part 2: Code of Practice
Switzerland, ISO, 2005
- F** ISO/IEC
ISO/IEC 9001:2008(E): Quality Management Systems - Requirements
Switzerland, ISO, 2008
- G** IRCA
Auditing Glossary of Terms
London, IRCA, 2007
<http://www.irca.org/about/glossary.html>
- H** Leo van Selm
ISO/IEC 20000 An Introduction
Zaltbommel, van Haren Publishing, 2008
ISBN 9 78 90 87 530815
- I** Michael Liebig
Entscheiden
Frankfurter Allgemeine Zeitung, Wiesbaden: Gabler, 1993
ISBN 3 409 19178-X

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