



Certification Scheme

Notes for guidance – RCB Applicants

itSMF ISO/IEC 20000 Certification Scheme

Notes for Guidance – RCB Applicants

Introduction

itSMF manages the itSMF ISO/IEC 20000 Certification Scheme (the Scheme). Operation of the Scheme is closely monitored by **itSMF** to ensure consistency in the implementation of the Scheme.

These Notes for Guidance are intended to summarise the provisions of the document “**itSMF** Scheme for Bodies Operating the Certification/Registration of IT Service Management Systems” (**itSMF**15/015), and clarify how **itSMF** 15/015 will be applied in practice.

Certification Bodies can apply to be registered by **itSMF** and consequently may be granted a licence to use an **itSMF** logo which demonstrates this registration.

itSMF registration will only be granted to organisations who have demonstrated that they fully meet the requirements of **itSMF** 15/015.

itSMF maintains a register of Registered Certification Bodies (RCBs) and also a register of organisations that have been certified by RCBs as meeting the requirements of the standard. These can be found, along with further details about the Scheme, at www.isoiec20000certification.com. A register of auditors who have passed the itSMF ISO/IEC 20000 exam is also maintained, but this is not currently published.

All queries about the operation of the Scheme should be addressed to enquiries@isoiec20000certification.com or by phone to +44 (0) 118 918 6500.

Registration

To register as an RCB, please complete the registration form and send it with the registration fee to **itSMF**. Details of the fees can be found in Schedule 1.

The fee is non-refundable, regardless of whether the application is successful. Payment by cheque is preferred. Where an invoice against a Purchase Order is requested, payment is due within 30 days of the invoice date. In any event, registration will not be granted until all fees have been paid.

The ISO/IEC 20000 Scheme Administration Manager, who will liaise with you throughout the registration process, will then contact you.

Please note that submission of the registration form and/or payment of any registration fee does not guarantee registration by **itSMF**.

Registration, if granted, is not retrospective. Any audits carried out before the effective date of registration will not have been conducted under the Scheme and therefore must not be certified as such. Similarly, a subsequent surveillance audit following RCB registration is not sufficient for certification under the scheme.

Assessment

itSMF ISO/IEC 20000 Certification Scheme

Notes for Guidance – RCB Applicants

Assessment of your application will include a check on the status of any claimed accreditations. Subsequently, arrangements will be made with you to complete the assessment process, which may include a visit to your premises. The ISO/IEC 20000 Scheme Administration Manager, supported as necessary by technical assessors, will conduct this assessment. The duration and scope of the assessment process will depend upon the applicant type in which your organisation is categorised. There are two types of applicant:

1. Type 1 applicants are Certification Bodies holding accreditation in accordance with EN 45012, such accreditation being from a National Accreditation Body recognised by the European co-operation for Accreditation (EA) and/or International Accreditation Forum (IAF). This accreditation must cover ISO 9001:2000 Quality Management System accreditation for Information Technology – Software (IAF/EAC No 33, NACE Division 72 Section K) or BS 7799-2:2002 Information Security Management.

Type 1 applicants are deemed to meet the requirements of *itSMF15/015* by virtue of this accreditation, and the process for registration is limited to verification of the information provided on their application and a requirement that at least two of the organisation's ISO/IEC 20000 auditors have attended an itSMF-accredited training course and passed the associated examination.

2. Type 2 applicants are those who do not satisfy the above national accreditation condition.

Type 2 applicants will require a more detailed assessment against the criteria contained in *itSMF15/015* before any registration can be granted. It is particularly important to note the requirements for total impartiality of the organisation's audit function. Procedures for assessment of type 2 organisations are currently being developed and Type 2 applications therefore cannot be accepted at this time. Assessment fees for type 2 applications are expected to vary depending on the nature and background of the organisation making the application.

An outline timetable for the assessment will be agreed with each applicant once the initial accreditation checks have been completed. Any additional fees to complete the assessment will be advised at this time.

Any non-compliance against registration requirements found during the assessment process will be notified to the applicant in writing and an opportunity given to address this

Once the applicant has demonstrated compliance with the Scheme requirements and all fees have been paid, the applicant will be granted registration as an RCB and details of the registration will be published on the Register of RCBs.

RCBs also receive an electronic copy of the Scheme logo at this stage.

Certificates will be issued to those auditors who have passed the itSMF-ISO/IEC 20000 examination, and the register of certificated auditors updated.

itSMF ISO/IEC 20000 Certification Scheme

Notes for Guidance – RCB Applicants

Registration is effective for three years from the effective date subject to the RCB continuing to satisfy the requirements of the Scheme. Registrations may be renewed for a further term on submission of an application and payment of the relevant fee, subject to satisfactory assessment.

RCBs are expected to actively support and promote the itSMF Certification Scheme, and should not do anything which may negatively impact on the credibility of the Scheme.

Changes

The itSMF ISO/IEC 20000 Certification Scheme Committee meets regularly to monitor the operation of the Scheme and may make recommendations to improve the operation of the Scheme. RCBs will be notified of any such changes and will be expected to adopt such changes in a reasonable timescale.

Use of *itSMF* Logo

The *itSMF* Certification logo is a registered trademark.

The RCB is licensed to use the logo, either in colour or black and white, for the following purposes:

- In marketing collateral describing the Scheme and any specific service that they offer
- On certificates issued to organisations successfully passing an audit

When used in colour, the logo shall be reproduced in the exact colours and font of the issued logo.

The logo will be supplied to RCBs on acceptance of their application.

The RCB may sub-license organisations, which they have certified, to use the logo subject to the conditions above on their corporate collateral. The RCB will inform such organisations of the permitted uses of the logo when issuing a certificate.

In particular the logo must not be altered or used in a misleading way, for example to imply certification of something which is not certified

No other use of the logo is permitted and *itSMF* will take strong action against any perceived abuse of the logo, whether by an RCB or any other organisation.

itSMF ISO/IEC 20000 Certification Scheme

Notes for Guidance – RCB Applicants

Notification of Audits

itSMF have the right to undertake witnessed assessments, where an itSMF representative attends whilst an RCB is conducting a ISO/IEC 20000 audit. RCBs may therefore be requested to provide advance details of planned audits to itSMF for the purpose of arranging a witnessed assessment.

Certificates

Each certificate issued shall bear the following information where this is additional to the issuing RCBs usual information:

- Unique reference number
- Date of issue and expiry
- Scope of certification
- Organisation (including division, department or locations as appropriate)
- Scheme logo in accordance with the conditions above

RCBs should note that the date of issue of the certificate may not be before the date of the audit review and certification decision.

Reporting of Certifications

RCBs must provide itSMF with the following details of each ISO/IEC 20000 certificate issued or withdrawn under the Scheme within 30 days:

- the organisation audited
- the certification scope (complete or part of the organisation) (if applicable)
- location(s)
- the date of certificate issue (or withdrawal) and expiry
- unique certificate reference
- Whether the organisation gives or withholds permission for the certification details to be published on the ISO/IEC 20000 certification website
- The name(s) of the itSMF ISO/IEC 20000 registered auditor(s) taking part in the audit.
- Any other information that may be useful in maintaining the integrity and relevance of the Scheme

itSMF will also have the right to examine documentation relating to an assessment for a period of up to three years. RCBs are therefore required to retain copies of all third party audit and assessment documentation for three years.

In the event that itSMF consider that an RCB has issued a certificate to an organisation which does not meet the requirements of ISO/IEC 20000, then itSMF may withdraw authority for the RCB to issue the Scheme logo on that certificate.

itSMF will issue an annual return for completion by the RCB stating the number of audits carried out, pass/fail statistics, etc.

itSMF ISO/IEC 20000 Certification Scheme

Notes for Guidance – RCB Applicants

Auditor Training and Competence Requirements

Before an RCB application can be approved, applicants are required to demonstrate that they have at least two auditors who have attended an itSMF-accredited ISO/IEC 20000 auditor training course and who have passed the associated examination. At least one member of the team conducting an audit against the Scheme must be similarly qualified.. RCBs are expected to retain at least two such 'itSMF-certified' auditors under their control at all times.

The Register of RCBs

itSMF maintains a Register of RCBs. This will be published at www.isoiec20000certification.com and will provide an optional facility for links to RCB's web sites.

Register of Certificates Issued

itSMF will maintain a register of all certificates issued by RCBs. This will be published at www.isoiec20000certification.com and will specify the certificate number, the name of the certified organisation, effective dates, scope and any restrictions. Certificated organisations have the right to withhold their information from public display within the register. If they wish to do this then they must request this via their RCB who should then advise itSMF

Complaints

itSMF aims to handle promptly any complaints received, and will investigate complaints about the ISO/IEC 20000 certification activities of RCBs, and complaints about the activities of itSMF itself.

RCBs are required to have formal complaints handling procedures for the investigation and resolution of complaints made to them by their clients as detailed in itSMF15/015.

itSMF ISO/IEC 20000 Certification Scheme

Notes for Guidance – RCB Applicants

Appeals

If an organisation's application for registration is rejected by *itSMF*, then the organisation may appeal against the decision.

This appeal must be received in writing by *itSMF* within one month of the date of the rejection letter. The ISO/IEC 20000 Scheme Administration Manager and the CEO of *itSMF* will initially review the appeal. If this does not resolve the matter, then an independent review panel would be set up drawn from the members of the ISO/IEC 20000 Certification Committee (excluding any members working for or associated with RCB organisations).

Termination

RCBs have the right to terminate their participation in the Scheme by giving 30 days notice to *itSMF* in writing. *itSMF* retain the right to terminate an RCBs participation in the Scheme by giving 90 days notice to the RCB in writing. In either event, *itSMF* will remove the details of the RCB from the register by the effective date, and the RCB will cease to make use of the *itSMF* logo from that date.

RCBs will be expected to offer consistent and non prohibitive charges, terms and conditions to certified organisations that have obtained their certification through an RCB that is no longer accredited under the Scheme. This will apply to stages and all aspects of the certification programme. Certified organisations will retain their certification provided they comply with auditing requests and recommendations of the new RCB.

Consequential Losses

For the avoidance of doubt, neither party shall be liable for consequential losses of the other party arising from the operation of the Scheme.

itSMF ISO/IEC 20000 Certification Scheme

Notes for Guidance – RCB Applicants

Schedule 1: Schedule of RCB charges

All charges are payable in sterling, and are subject to VAT where appropriate.

Type 1: Applicants:

Scheme application / Registration fee	£500	Renewable every three years
Certificate fee	£100	Each certificate and each renewal every three years

Type 2: Applicants:

Scheme application / Registration fee	To be agreed	Renewable every three years
Certificate fee	£100	Each certificate and each renewal every three years