

APMG ISO/IEC 20000 Registration Scheme

Notes for Guidance – RCB Applicants

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Introduction

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

These Notes for Guidance are intended to summarise the provisions of the document “APMG ISO/IEC 2000 Scheme Regulation Document (APMG15/015), and clarify how it will be applied in practice.

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

APMG registration will only be granted to organisations who have demonstrated that they fully meet the requirements of APMG15/015.

APMG 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 APMG ISO/IEC 20000 Auditor exam or the itSMF equivalent following attendance at an accredited training course is also maintained, but this register is not currently published.

All queries about the operation of the Scheme should be addressed to servicedesk@apmg-international.com or by phone to +44 (0) 1494 459 559

This Scheme was previously operated and managed by itSMF. It transferred to APMG on 1 January 2011. The Scheme Regulations are unchanged by this transfer.

APMG will accept new RCB applications to ISO/IEC 2000:2005 until 31 May 2012, provided that the organisation can demonstrate its ability to complete all client transition to the ISO/IEC 20000-1:2011 edition by 1 June 2013.

Registration

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

The fee is non-refundable, regardless of whether the application is successful. 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 APMG.

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 surveillance audit carried out on a pre-certified organisation following RCB registration is not sufficient for certification under the Scheme.

Assessment

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 will include a visit to your premises or a review of your last NAB assessment report provided that this is from an IAF MLA signatory. A charge will be made for this assessment. 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 your organization's applicant type. There are two types of applicant:

1. Type 1 applicants are Certification Bodies holding accreditation in accordance with ISO/IEC 17021, such accreditation being from a National Accreditation Body which is a member of the International Accreditation Forum (IAF) MLA. The applicant's accreditation must cover ISO 9001:2008 Quality Management System accreditation for Information Technology (IAF/EAC No 33, NACE Division 72 Section K) or ISO/IEC 27001:2006 Information Technology - Security Management.

Type 1 applicants are deemed to meet the majority of the requirements of APMG15/015 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 APMG-accredited training course or the itSMF equivalent, and passed the associated examination.

2. Type 2 applicants are those who do not satisfy the above national accreditation condition. Procedures for assessment of type 2 organisations are currently being developed and Type 2 applications therefore cannot be accepted at this time.

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.

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 APMG Certification Scheme, and should not do anything which may negatively impact on the credibility of the Scheme.

Changes

RCBs will be notified of any changes to the Scheme and/or APMG15/015 and will be expected to respond to such changes in a reasonable timescale.

Use of APMG Logo

The APMG 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.

An electronic copy of the logo will be supplied to RCBs on acceptance of their application.

The RCB may sub-license organisations which they have certified within the Scheme 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 APMG will take strong action against any perceived abuse of the logo, whether by an RCB or any other organisation.

Notification of Audits Surveillance

From 01 January 2012 all RCB's will be subject to an annual surveillance Audit.

Where an RCB holds NAB accreditation for ISO20000 in addition to APMG registration, APMG will normally choose to review the latest NAB report for one ISO 20000 scheme as a desk top review, for which a nominal charge will be made, as listed in Schedule 1- Notes for Guidance – (URL Link)

Where an RCB does not hold NAB accreditation for ISO2000, APMG will carry out a site visit for which a charge will be made as listed in Schedule 1

Re –Registration

This will be conducted every three years, and will follow the same rules as for Initial registration.

Witnessed Assessments

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

Alternately APMG may choose to review a sample of client files on site with the RCB

Certificates

Each certificate issued shall bear the following information where this is additional to the issuing RCB's 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 APMG 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
- location(s)
- the applicable edition of ISO/IEC 20000
- 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 APMG 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

APMG 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 APMG consider that an RCB has issued a certificate to an organisation which does not meet the requirements of APMG 15/015 or ISO/IEC 20000, then APMG may, after discussing the matter and failing to reach an acceptable agreement, withdraw authority for the RCB to issue the Scheme logo on that certificate.

APMG recommends that, prior to issue of a certificate and as early as practical in the certification process, the proposed scope statement is notified to APMG for validation. The preferred form of the scope statement is
“The IT service management system of <service provider organisational unit> that delivers <service/s> to <customer/s> from <location>”

APMG have published requirements specific to the APMG Scheme in a document titled *Requirements for scope statements*.

Further advice and guidance is available from APMG on request, and is also contained in PD ISO/IEC TR 20000-3:2009.

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 APMG-accredited ISO/IEC 20000 auditor training course or the itSMF equivalent and who have passed the associated examinations. RCBs are expected to retain at least two such 'APMG-certified' auditors under their control at all times.

The Register of RCBs

APMG 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

APMG 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 APMG.

Complaints

APMG 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 APMG itself. The APMG complaints process is available on the website.

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 APMG15/015.

Appeals

If an RCB wishes to appeal against a decision on ISO/IEC 20000 registration the process is available on the website.

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

Termination

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

RCBs will be expected to assist the Scheme by offering consistent and non prohibitive charges, terms and conditions to certified organisations that had initially 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.

Schedule 1: Schedule of RCB charges

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

All Applicants:

Scheme application / Registration fee	£750	Renewable every three years
Certificate fee	£125	Each certificate and each renewal every three years

Admin Fees

Changes to scoping name change or address
for certified organization £75

Changes to name or address for RCBS £120

Surveillance

NAB ISO20000 Desk top review by APMG(in English) £500

On site Audit by APMG £975 plus
T&S

Re-Registration £750

(as Above)

Replace Certificate £50