INTERNATIONAL STANDARD

ISO/IEC 20000-6

Information technology — Service management —

Part 6:
Requirements for bodies providing audit and certification of service management systems

Technologies de l'information — Gestion des services —
Partie 6: Exigences pour les organismes procédant à l'audit et à la certification des systèmes de management de la gestion des services

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ISO/IEC 20000-6:2017
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Foreword

ISO (the International Organization for Standardization) and IEC (the International Electrotechnical Commission) form the specialized system for worldwide standardization. National bodies that are members of ISO or IEC participate in the development of International Standards through technical committees established by the respective organization to deal with particular fields of technical activity. ISO and IEC technical committees collaborate in fields of mutual interest. Other international organizations, governmental and non-governmental, in liaison with ISO and IEC, also take part in the work. In the field of information technology, ISO and IEC have established a joint technical committee, ISO/IEC JTC 1.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see www.iso.org/patents).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation on the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT) see the following URL: www.iso.org/iso/foreword.html.

For an explanation on the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT) see the following URL: www.iso.org/iso/foreword.html.

This document was prepared by Technical Committee ISO/IEC JTC 1, *Information technology*, subcommittee, SC 40, *IT Service Management and IT Governance*.

A list of all parts in the ISO/IEC 20000 series can be found on the ISO website.

Introduction

This document is for use by certification bodies for auditing and certifying a service management system (SMS) in accordance with ISO/IEC 20000-1. It can also be used by accreditation bodies when assessing certification bodies. It is intended to be used in conjunction with ISO/IEC 17021-1, which sets out criteria for certification bodies providing audit and certification of management systems. This document provides requirements additional to those in ISO/IEC 17021-1.

Correct application of this document will enable certification bodies to harmonize their application of ISO/IEC 17021-1 for assessments against ISO/IEC 20000-1. It will also enable accreditation bodies to harmonize their application of the standards they use to assess certification bodies.

This document follows the structure of ISO/IEC 17021-1, as far as possible. The requirements additional to those in ISO/IEC 17021-1 are shown as subclauses numbered "SMxxx".

ISO/IEC 17021-1 and this document use the term "client" for the organization seeking certification.

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Information technology — Service management —

Part 6:
Requirements for bodies providing audit and certification of service management systems

1 Scope

This document specifies requirements and provides guidance for certification bodies providing audit and certification of an SMS in accordance with ISO/IEC 20000-1. It does not change the requirements specified in ISO/IEC 20000-1. This document can also be used by accreditation bodies for accreditation of certification bodies.

A certification body providing SMS certification is expected to be able to demonstrate fulfilment of the requirements specified in this document, in addition to the requirements in ISO/IEC 17021-1.

2 Normative references

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO/IEC 17021-1:2015, *Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 1: Requirements*

ISO/IEC 20000-1, *Information technology — Service management — Part 1: Service management system requirements*

ISO/IEC TR 20000-10, *Information technology — Service management — Part 10: Concepts and terminology*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO/IEC 17021-1 and ISO/IEC TR 20000-10 apply.

ISO and IEC maintain terminological databases for use in standardization at the following addresses:

— IEC Electropedia: available at http://www.electropedia.org/

— ISO Online browsing platform: available at http://www.iso.org/obp

4 Principles

For the purposes of this document, the principles in ISO/IEC 17021-1:2015, Clause 4 apply.

5 General requirements

5.1 Legal and contractual matters

The requirements in ISO/IEC 17021-1:2015, 5.1 apply.

5.2 Management of impartiality

The requirements in ISO/IEC 17021-1:2015, 5.2 apply. In addition, the following requirements and guidance apply.

5.2.1 SM5.2.1 Conflicts of interest

Certification bodies may carry out the following duties without them being considered as consultancy or having a potential conflict of interest:

a) arranging and participating as a lecturer in training courses. Where these courses relate to service management, related management systems or auditing, certification bodies shall confine themselves to the provision of generic information and advice which is publicly available, i.e. they shall not provide company-specific advice;

b) making available or publishing on request information describing the certification body's interpretation of the requirements of the certification audit standards;

c) activities prior to audit, solely aimed at determining readiness for certification audit. These activities shall not result in the provision of recommendations or advice that would contravene this subclause. The certification body shall be able to confirm that such activities do not contravene these requirements and that they are not used to justify a reduction in the eventual certification audit duration;

d) performing second and third-party audits according to standards or regulations other than those being part of the scope of accreditation;

e) adding value during certification audits and surveillance visits, e.g. by identifying opportunities for improvement, as they become evident during the audit, without recommending specific solutions.

The certification body shall not provide internal service management reviews of the client's SMS subject to certification. The certification body shall be independent of the body or bodies (including any individuals) which provide the internal SMS audit.

5.3 Liability and financing

The requirements in ISO/IEC 17021-1:2015, 5.3 apply.

6 Structural requirements

The requirements in ISO/IEC 17021-1:2015, Clause 6 apply.

7 Resource requirements

7.1 Competence of personnel

7.1.1 General considerations

The requirements in ISO/IEC 17021-1:2015, 7.1.1 apply.

7.1.2 Determination of competence criteria

The requirements in ISO/IEC 17021-1:2015, 7.1.2 apply. In addition, the following requirements and guidance apply.

7.1.2.1 SM7.1.2.1 The term "technical area"

ISO/IEC 20000-1 states that all requirements are generic and are intended to be applicable to all clients, regardless of type, size and the nature of the services delivered. For ISO/IEC 20000-1 audits, the term "technical area" relates to the SMS, including service management processes and the services within the scope of the SMS. "Technical area" does not relate to any underlying technology used to enable service delivery.

7.1.3   Evaluation processes

The requirements in ISO/IEC 17021-1:2015, 7.1.3 apply.

7.1.4   Other considerations

The requirements in ISO/IEC 17021-1:2015, 7.1.4 apply.

7.2   Personnel involved in certification activities

The requirements in ISO/IEC 17021-1:2015, 7.2 apply. In addition, the following requirements and guidance apply.

7.2.1   SM7.2.1 Competence of personnel involved in certification activities

The certification body shall define criteria for the training and competence development of auditors and personnel involved in managing and supporting certification activities. The certification body shall ensure knowledge, as appropriate for each role, of:

a) the requirements specified in ISO/IEC 20000-1;

b) the relevant parts of ISO/IEC 20000, especially ISO/IEC 20000-2, ISO/IEC 20000-3 and ISO/IEC TR 20000-10.

The certification body shall ensure that auditors and personnel involved in managing and supporting certification activities have appropriate awareness of the impact of legal and regulatory requirements relevant to auditing an SMS, according to the jurisdictions in scope. Awareness of legal and regulatory requirements does not imply profound legal knowledge: a management system certification audit is not a legal compliance audit.

The certification body shall ensure auditors keep knowledge and skills in service management and auditing up to date through continual professional development.

7.3   Use of individual external auditors and external technical experts

The requirements in ISO/IEC 17021-1:2015, 7.3 apply.

7.4   Personnel records

The requirements in ISO/IEC 17021-1:2015, 7.4 apply.

7.5   Outsourcing

The requirements in ISO/IEC 17021-1:2015, 7.5 apply.

8 Information requirements

8.1 Public information

The requirements in ISO/IEC 17021-1:2015, 8.1 apply.

8.2 Certification documents

The requirements in ISO/IEC 17021-1:2015, 8.2 apply. In addition, the following requirements and guidance apply.

8.2.1 SM8.2.1 Scope definition

The guidance in ISO/IEC 20000-3 should be used when defining the scope.

8.3 Reference to certification and use of marks

The requirements in ISO/IEC 17021-1:2015, 8.3 apply.

8.4 Confidentiality

The requirements in ISO/IEC 17021-1:2015, 8.4 apply. In addition, the following requirements and guidance apply.

8.4.1 SM8.4.1 Access to the client's documents, including records

Before the certification audit is agreed, the certification body shall ask the client to report if any SMS documents or records cannot be made available for review by the audit team because they contain confidential or sensitive information. The certification body shall determine whether the SMS can be adequately audited in the absence of these documents or records. If any documents or records are essential for the audit and are not available, the certification body shall advise the client that an audit cannot take place until appropriate access arrangements are granted.

8.5 Information exchange between a certification body and its clients

The requirements in ISO/IEC 17021-1:2015, 8.5 apply.

9 Process requirements

9.1 Pre-certification activities

9.1.1 Application

The requirements in ISO/IEC 17021-1:2015, 9.1.1 apply.

9.1.2 Application review

The requirements in ISO/IEC 17021-1:2015, 9.1.2 apply. In addition, the following requirements and guidance apply.

9.1.2.1 SM9.1.2.1 Application review

The certification body shall review the application from the client to ensure a clear understanding of the areas of activity of the client and the likely risks to the SMS and the services.

9.1.3 Audit programme

The requirements in ISO/IEC 17021-1:2015, 9.1.3 apply.

9.1.4 Determining audit time

The requirements in ISO/IEC 17021-1:2015, 9.1.4 apply. In addition, the following requirements and guidance apply.

9.1.4.1 SM9.1.4.1 Determining audit time for initial audit

The certification body shall use the number of effective client personnel as the basis for determining audit time for an initial certification audit. The certification body shall use Table 1 when determining audit time. Table 1 is based on 8-hour days. The figures may be adjusted if the hours per day are higher or lower than 8 h.

The number of effective client personnel shall be calculated as full-time equivalents (FTE). The calculation of effective client personnel shall be based on those in the scope of the SMS. The certification body shall be able to justify the rationale used for the relationship between the number of effective client personnel supporting the SMS and the services and the audit time.

If the number of effective client personnel supporting the SMS and the services exceeds 1 175, the certification body's procedures shall provide for the calculation of audit time, following the progression in Table 1 in a consistent manner and define the days by extrapolation beyond the last band in Table 1.

The certification body shall base their plans for an initial audit on a minimum audit time of 2,5 d, after adjustments, irrespective of the number of client personnel.

The audit duration shall not be less than 80 % of the audit time. If additional time is needed for planning or report writing, this shall not reduce the audit duration.

Table 1 — Relationship between effective number of personnel and audit time before adjustments (initial audit)

Effective number of client personnel	Audit time: Stage 1 + Stage 2 (days)
1–15	3,5
16–25	4,5
26–45	5,5
46–65	6
66–85	7
86–125	8
126–175	9
176–275	10
276–425	11
426–625	12
626–875	13
876–1 175	15

NOTE   Audit time is defined as the time needed to plan and accomplish a complete and effective audit of the client's management system. Audit time includes the total time on-site at a client's location (physical or virtual) and time spent off-site carrying out planning, document review, interacting with client personnel and report writing. Duration of management system certification audits is defined as that part of audit time spent conducting audit activities from the opening meeting to the closing meeting, inclusive.

The effective number of personnel consists of all personnel involved within the scope of certification including those working on each shift. When included within the scope of certification, it shall