



Rules for the certification of IT (Information Technology) Service Management Systems

Effective from 6th June, 2019

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Technical Rules



This document is composed of three sections, one for each relevant certification service:

Section 1:

IT Services Management System Certification in conformity with ISO/IEC 20000-1:2018

Section 2:

IT Services Management System Certification in conformity with ISO/IEC 20000-1:2011

Section 3:

Certification transition from ISO/IEC 20000-1:2011 to ISO/IEC 20000-1:2018



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Section 1: IT Services Management System Certification in conformity with ISO/IEC 20000-1:2018

CHAPTER 1 GENERAL

1.1

These Rules define the additional and/or substitutive procedures applied by RINA for the certification of IT (Information Technology), in comparison with what is already defined in the General Rules for the Certification of Management Systems.

The points of these Rules refer to and keep the same numbering of the corresponding points of the Rules for the Certification of Management Systems for which changes and/or integrations have been made.

1.2

RINA issues the certification according to the requirements of the UNI CEI ISO/IEC 17021:2015, ISO/IEC 20000-6:2017 standards to organisations of whom IT Service Management Systems has been recognised to be compliant to all the requirements detailed in ISO/IEC 20000:2018 standard.

In case APMG recognition is required, RINA issues the certification according to the requirements of the APMG rules "RCB Terms and Conditions for Registration - APMG ISO/IEC 20000 Certified Organisation Scheme" v. 2-1 April 2019.

1.7

The terminology used in these Rules is indicated in the ISO/IEC 20000-1:2018, ISO/IEC 20000-6:2017 and CEI EN ISO/IEC 17000:2005 standards.

CHAPTER 2 REFERENCE STANDARD / CERTIFICATION REQUIREMENTS

2.1

An IT Service Management System shall be compliant to the requirements defined in the ISO/IEC 20000-1:2018 standard and, if required by the Accreditation Bodies, to the additional ones, too, both at the initial stage and continuously, in order to be awarded a RINA certificate. If the certificate that is to be issued is also recognised by APMG, the requirements defined by APMG shall also be taken into consideration.



CHAPTER 3

INITIAL CERTIFICATION

3.1

In addition to what is prescribed by the General Rules for the Certification of Management Systems, the Organisation must also inform RINA if their IT Service Management System includes documentation procedures, records, etc.) classified as "confidential" and/or in any case not available for certification purposes. RINA will then assess whether the conditions are right to continue the certification process.

3.4

Together with or following the certification request, the Organisation is to submit also the following documents to RINA:

- catalogue of IT services;
- network architecture and IT systems architecture.

3.6

In case APMG recognition is required the acceptance of this Rule authorizes RINA to communicate the information of the Organization to APMG and to the publication of the certificate in the APMG site, after its approval. RINA shall inform APMG of every modification to the certificate during its validity.

CHAPTER 6

AUDITS

6.1

An "Audit Plan" is prepared for each audit according to what is prescribed by the ISO/IEC 27021:2015, ISO/IEC 20000-6 standards and to the relevant APMG rule. The Audit Plan will be sent to the organisation in due time.

CHAPTER 7

MANAGEMENT OF CERTIFICATES OF CONFORMITY

7.3

In case APMG recognition is required the acceptance of this Rule authorizes RINA to communicate the information of the Organization to APMG and to the publication of the certificate in the APMG site, after its approval. RINA shall inform APMG of every modification to the certificate during its validity.

CHAPTER 9

SPECIAL PROCEDURES FOR MULTI-SITE ORGANISATIONS

9.1

In addition to what is prescribed by the General Rules for the Certification of Management Systems, the Organisation must also provide a mapping at the sites of the responsibilities for performing the IT service management processes included in the standard, to allow verification of conformity of all the said processes.



The central function of the organisation must also manage at least the review of the IT service catalogue.

CHAPTER 10

TRANSFER OF ACCREDITED CERTIFICATES

10.1

In addition to what is prescribed by the General Rules for the Certification of Management Systems, if an Organisation with a valid certificate issued by another IT Service Management System Certification Body, recognized by the APMG, intends to transfer its certificate to RINA, it must send RINA the "Informative Questionnaire" as per point 3.1, giving its reasons for requesting transfer. If the above-mentioned certificate has been issued by a Certification Body accredited in relation to the IAF/MLA mutual recognition agreement, but not registered with the APMG, RINA will decide on a case by case basis whether the conditions for transfer exist according to the "General Rules for the certification of Management Systems".

CHAPTER 11

SUSPENSION, REINSTATEMENT AND WITHDRAWAL OF CERTIFICATION

11.1

In addition to what is prescribed by the General Rules for the Certification of Management Systems, the suspension of the validity of the certificate is made public by RINA directly on the website www.rina.org and is communicated to the APMG in case of certification issued under APMG recognition.

11.2

In addition to what is prescribed by the General Rules for the Certification of Management Systems, the reinstatement of the certificate is notified to the Organisation in writing and made public by RINA on its website www.rina.org and it is communicated to the APMG in case of certification issued under APMG recognition.

11.3

In addition to what is prescribed by the General Rules for the Certification of Management, withdrawal of the Certificate of Conformity is notified to the Organisation in writing and made public by RINA and it is also communicated to the APMG in case of certification issued under APMG recognition.

CHAPTER 12

RENUNCIATION OF CERTIFICATION

In addition to what is prescribed by the General Rules for the Certification of Management, within one month from the date of the communication, RINA updates the validity status of the certificate and informs the APMG in case of certification issued under APMG recognition.



SECTION 2: CERTIFICATION OF IT MANAGEMENT SYSTEMS IN CONFORMITY WITH ISO/IEC 20000-1:2011

CHAPTER 1 GENERAL

1.1

These Rules define the additional and/or substitutive procedures applied by RINA for the certification of IT (Information Technology), in comparison with what is already defined in the General Rules for the Certification of Management Systems.

The points of these Rules refer to and keep the same numbering of the corresponding points of the Rules for the Certification of Management Systems for which changes and/or integrations have been made.

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The terminology used in these Rules is indicated in the ISO/IEC 20000-1:2011, ISO/IEC 20000-6:2017 and CEI EN ISO/IEC 17000:2005 standards.

CHAPTER 2 REFERENCE STANDARD / CERTIFICATION REQUIREMENTS

2.1

An IT Service Management System shall be compliant to the requirements defined in the ISO/IEC 20000-1:2011 standard and, if required by the Accreditation Bodies, to the additional ones, too, both at the initial stage and continuously, in order to be awarded a RINA certificate. If the certificate that is to be issued is also recognised by APMG, the requirements defined by APMG shall also be taken into consideration.

CHAPTER 3 INITIAL CERTIFICATION

3.1

In addition to what is prescribed by the General Rules for the Certification of Management Systems, the Organisation must also inform RINA if their IT Service Management System includes documentation



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ISO/IEC 20000-1:2011 to ISO/IEC 20000-1:2018

procedures, records, etc.) classified as “confidential” and/or in any case not available for certification purposes. RINA will then assess whether the conditions are right to continue the certification process.

3.4

Together with or following the certification request, the Organisation is to submit also the following documents to RINA:

- catalogue of IT services;
- network architecture and IT systems architecture.

3.6

In case APMG recognition is required the acceptance of this Rule authorizes RINA to communicate the information of the Organization to APMG and to the publication of the certificate in the APMG site, after its approval. RINA shall inform APMG of every modification to the certificate during its validity.

CHAPTER 6

AUDIT

6.1

An “Audit Plan” is prepared for each audit according to what is prescribed by the ISO/IEC 27021:2015, ISO/IEC 20000-6 standards and to the relevant APMG rule. The Audit Plan will be sent to the organisation in due time.

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7.3

In case APMG recognition is required the acceptance of this Rule authorizes RINA to communicate the information of the Organization to APMG and to the publication of the certificate in the APMG site, after its approval. RINA shall inform APMG of every modification to the certificate during its validity.

CHAPTER 9

SPECIAL PROCEDURES FOR MULTI-SITE ORGANISATIONS

9.1

In addition to what is prescribed by the General Rules for the Certification of Management Systems, the Organisation must also provide a mapping at the sites of the responsibilities for performing the IT service management processes included in the standard, to allow verification of conformity of all the said processes.

The central function of the organisation must also manage at least the review of the IT service catalogue.



CHAPTER 10

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10.1

In addition to what is prescribed by the General Rules for the Certification of Management Systems, if an Organisation with a valid certificate issued by another IT Service Management System Certification Body, recognized by the APMG, intends to transfer its certificate to RINA, it must send RINA the "Informative Questionnaire" as per point 3.1, giving its reasons for requesting transfer. If the above-mentioned certificate has been issued by a Certification Body accredited in relation to the IAF/MLA mutual recognition agreement, but not registered with the APMG, RINA will decide on a case by case basis whether the conditions for transfer exist according to the "General Rules for the certification of Management Systems".

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11.3

In addition to what is prescribed by the General Rules for the Certification of Management, withdrawal of the Certificate of Conformity is notified to the Organisation in writing and made public by RINA and it is also communicated to the APMG in case of certification issued under APMG recognition.

CHAPTER 12

RENUNCIATION OF CERTIFICATION

In addition to what is prescribed by the General Rules for the Certification of Management, within one month from the date of the communication, RINA updates the validity status of the certificate and informs the APMG in case of certification issued under APMG recognition.



SECTION 3: TRANSITION OF THE CERTIFICATION FROM ISO/IEC 20000-1:2011 TO ISO/IEC 20000-1:2018

A.0 - GENERAL

This section is applicable whenever an Organisation holding a certification issued in conformity to ISO/IEC 20000-1:2011 standard, requires the transition of to ISO/IEC 20000-1:2018 standard, referred as "transition" henceforth.

An IT Service Management System shall be compliant to the requirements defined in the ISO/IEC 20000-1:2018 standard and, if required by the Accreditation Bodies, to the additional ones, too, both at the initial stage and continuously, in order to be awarded a RINA certificate for the new standard.

The Organisation shall demonstrate to have correctly implemented and activated all the elements subject of the change, among which:

demonstrate to have considered its context in defining the scope of its system and in planning of the management system based on its own risks and opportunities.

A.1 – TRANSITION REQUEST

During the transition period, the Organisation that is already certified in conformity to ISO/IEC 20000-1:2011 standard may choose to execute the transition to the new standard:

- a) during a surveillance audit, increasing the audit time
- b) during a recertification audit, without any increase of the audit time
- c) in between two planned audits and in this case an extra audit.

The request to execute the transition shall be sent to RINA by an authorised representative of the said organisation.

After receiving the transition request, RINA will prepare an adequate economic offer limited to the transition audit.

A.2 – MIGRATION AUDIT EXECUTION

The transition audit is composed of an on-site audit in order to verify the implementation of the new requirements in conformity with ISO/IEC 20000-1:2018.

Please refer to what established in the "General Rules for the certification of Management Systems".

During the transition period, if major non-conformities with respect to ISO/IEC 20000-1:2018 are identified and not solved by the deadlines defined in the "General Rules for the certification of Management Systems", the said non-conformities will not impact negatively the validity of the current certification, only if, obviously, the IT Service Management System has been ascertained to be in conformity with ISO/IEC 20000-1:2011 standard.



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Periodicity and extension of next audits for the certification maintenance do not change and still follow what defined in the three-year audit plan.

A.3 – ISSUING OF THE CERTIFICATION IN CONFORMITY WITH ISO/IEC 20000-1:2018

When the transition audit has been completed successfully and after it has been validated by RINA, a Certificate of Conformity to the new standard shall be issued. The certificate validity will be calculated bases on the previous decision date for the certification/recertification.

A.4 – VALIDITY OF THE CERIFICATES IN CONFORMITY WITH ISO/IEC 20000-1:2011

All the certificates of conformity to the ISO/IEC 20000-1:2011 standard will expire on the 30th September 2021.

The Organisation that, after expiry date of the certificate, intends to be awarded a certificate shall put forward a new request following the procedure for the initial certification.

A.5 – CERTIFICATION E RENEWAL IN CONFORMITY WITH ISO/IEC 20000-1:2011

Certifications and recertification in conformity to the ISO/IEC 20000-1:2011 standard, after the 1st April, 2020, shall be only be executed in conformity with ISO/IEC 20000-1:2018.

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