

- 1.0 **Scope** - This R20.112 applies to organizations requiring assessment and/or registration of their management system in accordance with ISO/IEC 20000-1 Third Edition dated 2018-09.

The following steps represent additions/clarifications to those defined in SRI Procedures QP 4.0 through QP 8.0 with relevant documents (R20.xx) as indicated. The management system requirements specified in ISO/IEC 20000-1 are complementary (not alternative) to specified technical requirements and applicable law and regulation.

- 1.1 **Purpose** - The purpose of this document is to outline the process for providing organizations with assessment and registration of their Information Technology Service Management Systems. It also provides requirements for auditing organizations to ISO/IEC 20000-1.

1.2 **References:**

- ISO/IEC 20000-1 – Information technology – Service Management- Part 1: Specification
- ISO/IEC 17021-1 – Conformity assessment – Requirements for bodies providing audit and certification of management systems
- ISO/IEC 20000-2 – Guidance on the application of service management systems.
- ISO/IEC 20000-3 Guidance on scope definition and applicability of ISO 20000-1
- ISO/IEC 20000-6 Requirements for bodies providing audit and certification of service management systems

2.0 **Definitions**

- 2.1 **Availability:** ability of a component or service to perform its required function at a stated instant or over a stated period of time.
- 2.2 **Configuration Baseline:** snapshot of the state of a service or individual configuration items at a point in time.
- 2.3 **Change Record** – record containing details of which configuration items (see 2.4) are affected and how they are affected by an authorized change.
- 2.4 **Configuration Item** – component of an infrastructure or an item which is, or will be, under the control of configuration management.
- 2.5 **Configuration Management Data Base (CMDB)** – data used to record attributes of configuration items, and the relationships between configuration items, throughout their life cycle.
- 2.6 **Incident** – any event which is not part of the standard operation of a service and which causes or may cause an interruption to, or a reduction in, the quality of that service.
- 2.7 **Problem** – unknown underlying cause of one or more incidents.

- 2.8 Release – collection of new and/or changed configuration items which are tested and introduced into the live environment together.
- 2.9 Request for Change - form or screen used to record details of a request for a change to any configuration item within a service or infrastructure.
- 2.10 Service Desk - customer facing support group who do a high proportion of the total support work.
- 2.11 Service Level Agreement- written agreement between a service provider and a customer that documents services and agreed service levels.
- 2.12 Service Management- management of services to meet the business requirements.
- 2.13 Service Provider- the organization aiming to achieve ISO/IEC 20000-1 certification.
- 2.14 Major (HOLD) Nonconformity - The absence of, or failure to implement and maintain one or more required management system elements, or a situation which would, on the basis of objective evidence, raise significant doubt as to the capability of the ITSMS to achieve the standard policy and objectives of the organization.
- 2.15 Minor Nonconformity - A single system failure or lapse in conformance with a procedure, process or element, relating to the applicable standard

3.0 **General**

- 3.1 Service Management requirements and supplementation are typically derived from ISO/IEC 20000-1, ISO/IEC 20000-2, ISO/IEC 20000-3, and Information Technology Infrastructure Library (ITIL) documentation, as well as the instructions and requirements of EA-7/03. If an organization already has an operative system, (e.g. in relation to or integrated with ISO 9001, ISO 14001, or ISO/IEC 27001) it may be preferable to satisfy the requirements of ISO/IEC 20000-1 within the current established standard and management system implementation.
- 3.2 Service Management (SM), as defined in ISO/IEC 20000-1, is a set of capabilities and processes to direct and control the service provider's activities and resources for the design, transition, delivery, and improvement of services to fulfill the service requirements. It involves coordination and implementation of service management processes in seven major areas; Operational Planning and Control, Service Portfolio, Relationship and Agreement, Supply and Demand, Service Design/Build/Transition, Resolution and Fulfillment, and Service Assurance. It is based on a documented Service Management Policy and Service Delivery Processes (guided by Service Level Objectives- SLO's and Service Level Agreements- SLA's) and follows a life-cycle approach to plan, implement, monitor, review, and continually improve provisioning of Service Management to customers. There are no allowable exclusions in an ISO/IEC 20000-1 Service Management System; all requirements of the Standard are applicable to an SM implementation and must be fulfilled in accordance with the specific Service Management Plan, Policy, and Service Level Objectives and Agreements. In addition, this update (which incorporates the requirements of the Third Edition ISO/IEC 20000-1 requirements specification) reflects the changes in nomenclature, definitions, and updated and expanded requirements necessary to effectively assess conformance to the Third Edition, made a part of this R20.112 update by reference of Table A in Section 10 of this document.

4.0 **Requirements for SRI**

- 4.1 SRI is fully accredited by the ANSI-ASQ National Accreditation Board (ANAB) and Raad voor Accreditatie (RvA), in accordance with ISO/IEC 17021-1 current version or equivalent for ISO 9001. SRI is fully accredited for ISO/IEC 20000-1, received subsequent approval and accreditation by ANAB, and has updated and resubmitted the application in conformance with IAF MD 11, Issue 1, version 2. SRI's Service Management sector qualification consisted of an application review, witness audit, and recommendation for the recognition of SRI's Service Management sector program.
- 4.2 SRI has provided an application form for the applicable Service Management System (SMS) registrations. This application provides ANAB with renewed confidence that SRI has developed the necessary documented process to meet ISO/IEC 20000-1 Third Edition and Accreditation Body requirements.
- 4.3 SRI recognizes that ANAB will perform witness audits and oversight of SRI in accordance with their internal procedures and ISO/IEC guidelines, including at a minimum of one office audit per year and one ISO/IEC 20000-1-based witness audit per year.
- 4.4 SRI affords applicable Authorities the right of review of records and information related to their SMS sector qualification program, including SRI activities associated with this document.

5.0 **Requirements for Certification/Registration Bodies (CRBs)**

- 5.1 SRI is a nationally recognized Certification Body and currently qualified to ISO 9001 in accordance with ISO 17021-1 for management systems. SRI has completed the application for ISO/IEC 20000, submitted that application for acceptance, and was subsequently accredited for performance of certification to ISO/IEC 20000-1. Necessary auditor qualifications have been updated through training and personnel interview and are available for review and approval by applicable Authorities upon demand.
- 5.2 SRI has and/or uses qualified full-time or contract auditors and/or technical experts engaged in certification/registration activities related to ISO/IEC 20000.
 - A. The essential management system evidence required to be presented in order to perform SMS certification/ registration has not significantly changed with the advent of ISO/IEC 20000-1, and includes that necessary to select, provide, and manage those individuals whose collective competence is appropriate to the activities to be audited and the related Service Management issues as described in ANAB Rule 25, clause 7, Audit Team Competence in conformity with IAF MD 11 criteria.
- 5.3 SRI's processes and requirements to continue conformance to ISO/IEC 20000 sector qualification includes as a minimum:
 - A. Evidence that SRI's certification function has person(s) with appropriate background and knowledge in accord with applicable Authority criteria.
 - B. Evidence of SRI's criteria for the training and selection of audit team that ensures appropriate levels of:

- 1) understanding of the SMS standard or normative document;
- 2) understanding of Service Management issues;
- 3) understanding of Service Management and Service Delivery;
- 4) technical knowledge of the activities and areas to be audited;
- 5) knowledge of regulatory requirements relevant to Information Technology Service Management;
- 6) management system audit competencies;
- 7) management system knowledge.

This training was initially gained and evidenced by attending and passing an approved SMS ISO/IEC 20000 Lead Auditor course. Updated training has been performed internally, to upgrade knowledge and skills to the ISO/IEC 20000-1 standard and applicable Authority criteria. Records of attendance and passing are maintained in the independent contractor or employee file for the life of the contractor's agreement or employment contract.

- C. Documented auditor training program performed initially, during the initial qualification process, and with applicable Authority criteria revisions and updates that conforms to IAF MD 18. SRI shall document their auditor training program and make it available for review and approval by ANAB during the re-accreditation process. SRI utilizes applicable Authority-approved training courses and/or hires qualified groups or individuals to supply approved training courses. In addition, SRI provides internal training, qualification, oversight, and validation and verification of knowledge and criteria to all auditors on an ongoing basis. Content of the training programs as defined by ANAB or other approved Training Services Provider is:
- 1) Applicable to the requirements of the ISO/IEC 20000-1 standard
 - 2) A generally recognized scheme as used in the specific sector for Certification/Registration of ISO/IEC 20000-1
- D. SRI utilizes qualified auditors. Auditors are closely reviewed, competence established, and evidence of required knowledge confirmed. Understanding of the mandatory aspects of specific SMS training are recognized as important in auditing to ISO/IEC 20000-1; these include knowledge and competency in the seven major process areas of Service Management, in addition to requisite industrial sector qualifications. Qualified ISO/IEC 20000-1 auditors will exhibit;
- 1) A University Degree (extensive experience and supplementary professional education and training can be equivalent).
 - 2) Four years full time practical workplace experience in Information Technology, of which at least two years are engaged in a role or function relating to Service Management.
 - 3) Proof of attendance and successful completion of a recognized SMS training course covering SMS knowledge, auditing, and audit management. At a minimum, the recognized training course must be an ISO/IEC 20000 lead auditor certificate or equivalent, as required by the applicable authority.
 - 4) A minimum of 4 prior assessments (audit experience such as QMS, EMS, SMS) equal to 20 days or more, including review of documentation, risk analysis, implementation, assessment, and audit reporting,
 - 5) Qualification to SMS through Exemplar Global (formerly RABQSA), IRCA, ITIL Foundation, or an alternate Personnel Accreditation Body is preferred. The auditor must exhibit the following attributes: objective, mature, discerning, analytical, persistent, and realistic. Auditors must also understand complex information technology

- operations and be able to understand the role of individual units in a larger organization.
- 6) Lead Auditors shall have acted as an auditor in at least three complete audits, and have demonstrated the capability to communicate effectively, both orally and in writing, have knowledge and attributes to manage the assessment process, and have demonstrated the possession of adequate knowledge and appropriate attributes in order to manage the assessment process.
 - 7) All relevant experience shall be reasonably current.
 - 8) Auditors must continually maintain and update knowledge and skills in Service Management.
- E. SRI has specific procedures, tools, and techniques in its system for granting, maintaining, extending, reducing suspending, and withdrawing certification/registration.
- F. A full system witness audit from a recognized AB of an SMS audit.
- G. SRI agrees to periodic surveillance and witness audits by ANAB.
- H. No Certificates or approvals to ISO/IEC 20000-1 shall be issued by SRI unless all major and minor nonconformances are addressed, with appropriate root cause analysis, corrective action, and (if required) effectiveness of implementation verified.
- I. SRI will provide copies when requested of all information pertaining to audit results, (including notebooks, findings, supporting documents, and/or other correspondence) with the audited organization for the purpose of the audited organization sharing this information with their customer(s).
- J. SRI requires the applicant to prepare a Service Management Plan describing the Service Management System and identifying which services and processes under the SMS standard or normative document are relevant and applicable for the organization's SMS implementation. The Service Management Plan shall be part of the working documents provided to the audit team at Stage 1.
- K. SRI will ensure that the organization's Service Management System risk and business impact assessment activities properly reflect the nature and services relevant to its activities, extends to the boundaries of its activities as defined in the SMS standard or normative document, including Business Relationship and Vendor Management analyses. SRI will confirm that this is reflected in the organization's Service Management Plan and associated process documentation. Interfaces with services or activities that are not completely within the certifiable scope of the SMS shall be addressed within the SMS subject to certification/ registration restrictions and should be included in the organization's information technology risk and continuity assessments. An example of such a situation is the outsourcing of SMS processes or services to third parties (e.g., hosting services providers, telecommunications outsourcers, call center/help desk support service providers, etc.).

- L. SRI does not provide consulting services. Any independent contractor that, in the past two years, has provided consulting services to a client shall have no involvement with the ISO/IEC 20000-1 registration of that client. The allowed only activity prior to audit is a pre-assessment per R20.46.

Note: If SRI performs training for an organization for which it will provide registration services, the training must be conducted and managed separately from SRI's registration program. The training must be available to the public, held in a public venue, and not specific to the attendee base.

- M. SRI does not provide internal audit review of service management of client's SMS that are subject to 3rd party audit.

5.4 SRI agrees to the "Right of Access" by ANAB and other regulatory or oversight bodies for review of all records and information concerning their activities associated with this document and their approval as a certification body under this system. This includes information from audits of clients in accordance with ISO/IEC 20000-1, current edition.

5.5 SRI agrees to allow ANAB member OEMs to perform surveillance reviews of SRI's processes and activities associated with this document and their approval as a CRB under this system. This access may include the witnessing of SRI audits at client locations.

6.0 **Requirements for Auditors**

6.1 All auditors shall, as a minimum, meet the basic education, training, work experience and audit experience of specified ISO 19011 conditions and requirements, and additionally must fully demonstrate the following:

- A. Auditing Experience - To have participated in at least four audits for a minimum of 20 days, which cover all the elements of the ISO/IEC 20000-1 standard within the last three years. Auditors shall have the ability to cover all the clauses/elements as determined by the Vice President, Certification. All members of the audit team shall be able to demonstrate appropriate experience and understanding of all of the following:
 - 1) the SMS standard or normative document;
 - 2) the concepts of management systems in general;
 - 3) issues related to various areas of Service Management;
 - 4) the principles and processes related to risk and business impact/continuity management;
 - 5) general ISO auditing principles
- B. The auditor must be trained in SMS requirements as defined in ISO/IEC 20000-1 and ISO/IEC 20000-6. This approved training covers all those noted in A. above plus size, scope, complexity criteria and information Confidentiality and Sensitivity aspects. This training can be performed by SRI or may be obtained independently.
- C. The following requirements apply to the audit team as a whole:
 - 1) In each of the following areas at least one audit team member should satisfy the certification/ registration body's criteria for taking responsibility within the team:

- a) managing the team,
 - b) knowledge of legislative and regulatory requirements and of compliance in the particular information technology service management field,
 - c) identifying service management-related risks, threats, and vulnerabilities
 - d) identifying the vulnerabilities of the service provider organization and understanding their impact, mitigation, and control,
 - e) knowledge of the current technical state-of-art in the sector,
 - f) knowledge of risk and business impact assessment related to information technology;
- 2) The audit team should be competent to trace indications of incidents and problems identified in the implementation of the organization's SMS back to the appropriate elements of Service Management.
 - 3) An audit team may consist of one person provided that the person meets all the criteria set out above.
 - 4) At least one member of the team must be competent in the SMS technical area. Specifically, the auditor must meet one of the two following options:
 - the auditor must hold IAF 33 (see R20.41) and QMS Technical area 33-1, and demonstrated competency for general auditing skill and knowledge as part of the annual auditor review process or
 - the auditor must hold IAF 33 (See R20.41) and participate in an interview to determine competency related to service management processes and services within the scope of the SMS.
 - **NOTE:** The second option is for auditors who are not qualified to ISO 9001
- When an auditor demonstrates competency as described above, the technical area code SMS-33 is added to the eVENTS system.
- 5) Certification decision personnel follow the same requirements stated above for auditors.
 - 6) Support personnel (CCC, Quote, etc.), must be familiar with required internal SRI documentation related to their role in applicable processes.

6.2 To maintain their SMS auditor qualification, all auditors must participate in continuing education. Training should include review of the changes to the industry standards, auditing methods and ISO requirements at a minimum of 15 hours total within every three-year period.

7.0 **Requirements for Assessment and Reporting**

7.1 **SMS Assessment Teams**

- A. The assessment team leader must be a qualified lead auditor per ISO 19011 as identified in SRI's accredited system.
- B. The team may include other auditors that are approved per SRI.
- C. The assessment team should include an auditor qualified for the supplier's commodity(ies) (IAF Scope Category). The commodity requirement may be met by a technical expert in-lieu of an auditor (per ANAB guidelines) who is

additional to the team membership. SMS credentials are the minimum bonafide occupational qualification.

D. Auditor credentials shall be made available to the organization upon request

- 7.1.1 SRI shall ensure that all members of the team are aware of the requirements of ISO/IEC 20000-1 and other applicable Authority criteria as may affect the scope of their assessment activity. The SMS Lead Auditor shall provide guidance to the assessment team throughout the assessment on the interpretation of SMS requirements and, when requested, the significance of any issues identified.
- 7.1.2 SRI shall review before the assessment what records are considered as confidential or sensitive by the organization such that these records could not be examined by the audit team during the assessment of the organization. The certification/ registration body shall judge whether the records that can be examined warrant an effective assessment. If the certification/ registration body concludes that an effective assessment is not warranted, the certification/ registration body shall inform the organization that the assessment can take place only when appropriate access arrangements have been accepted by the organization.
- 7.1.3 ANAB or Representatives may accompany the assessment team as observers of the assessment process at any time with due notice. When customer representatives are participating in the audit, the Team Leader shall have the option of including (or not) in the assessment report any findings brought forward by these representatives.

7.2 **Duration of Assessment**

- 7.2.1 An estimation of time that might be required for a certification audit is helpful to plan the audit. However, it is important to note that due to various factors that may affect the necessary time (size, scope, complexity of services, number of users, volume of information handled, number of information systems, number of networks, number of platforms, number of critical systems, remote teleworking, number and types of electronic transactions and requirements, number and size of software and/or system development projects, applicable legislation and any sector-specific requirements), it is not possible to give a definitive estimate on how necessary time can be determined. The estimation may need to be adjusted if more detailed information is made available or if factors change. In all cases where adjustments are made to the appropriate starting point, sufficient evidence and records shall be maintained to justify variations.

The methodology used as a basis for the calculation of audit duration is the ISO/IEC 20000-6 table 1 and related content in section 9.1.4. It is used to determine the appropriate starting point/duration for the audit event. Various factors noted above may affect the necessary time to perform an effective audit on-site, as identified in Table 2 (Decreases) and Table 3 (Increases) and in section 9.4.1.3 (other management system standards). Justifications must be captured in the proposal directory by the Proposal Manager or delegate.

A portion of the audit time can be conducted as a remote audit, per R20.22. Multi-site sampling is conducted per MD 1 and 7.4 below. Integrated audits are conducted per R20.105, with the following additional minimum requirements:

- The scope of the ISMS must be consistent with the scope of the SMS. If the scope of the ISMS is outside of the scope of the SMS, then an integrated

audit is not appropriate and a stand-alone SMS must be quoted and executed without the support of the ISMS.

- 7.2.2 A full assessment of all ISO/IEC 20000-1 requirements is mandated for any organization transitioning from an already existing conforming system to ISO/IEC 20000-1 that was not previously assessed using qualified SMS auditors and the requirements of this document. This includes and is representative of consideration for upgrading of Service Management Systems to the requirements of ISO/IEC 20000-1 applicable Authority criteria.
- 7.3 The audit team shall record all nonconformances identified during an assessment on form R20.35. The team leader shall assign a nonconformance to the categories of “Major” (HOLD) or “Minor”. These are defined in section 2.
- 7.4 Multiple site sampling decisions in the area of SMS registration are more complex than the same decisions are for Quality Management Systems. SRI will maintain procedures, which include the full range of issues below in the building of their sampling program. (Refer to R20.114)
- Prior to undertaking its first assessment based on sampling, SRI shall provide to the accreditation body the methodology and procedures which it employs and provide demonstrable evidence of how these take account of the issues below to manage multiple site SMS assessment.
- SRI’s procedures should ensure that the initial contract review identifies, to the greatest extent possible, the difference between sites such that an adequate level of sampling is determined in accordance with the provisions below.
- Where an organization has a number of similar sites covered by a single SMS, a certificate may be issued to the organization to cover all such sites provided that:
- A. all sites are operating under the same SMS, which is centrally administered and audited and subject to central management review;
 - B. all sites have been audited in accordance with the organization’s internal security review procedure(s);
 - C. a representative number of sites have been sampled by the certification/ registration body, taking into account the requirements below:
 - 1) the results of internal audits of head office and the sites,
 - 2) the results of management review,
 - 3) variations in the size of the sites,
 - 4) variations in the business purpose of the sites,
 - 5) complexity of the SMS,
 - 6) complexity of the information systems at the different sites,
 - 7) variations in working practices,
 - 8) variations in activities undertaken,
 - 9) potential interaction with critical information systems or information systems processing sensitive information,
 - 10) Service Management Plan and Service Level Objectives/Agreement conditions, and
 - 11) differing legal requirements;
 - D. the sample should be partly selective based on the above in point c) and partly non-selective and should result in a range of different sites being selected, without excluding the random element of site selection;
 - E. the surveillance program should be designed in the light of the above requirements and should, within a reasonable time, cover all sites of the organization or within the scope of the SMS certification/ registration included in the listing of security controls;
 - F. in the case of a nonconformity being observed either at the head office or at a

single site, the corrective action procedure should apply to the head office and all sites covered by the certificate/ registration.

The Audit described below should address the organization's head office activities to ensure that a single SMS applies to all sites and delivers central management at the operational level. The audit shall address all the issues outlined above.

7.5 **Initial Stage 1 Audit**

Prior to the on-site certification audit, the following must be provided to SRI;

- A. General information concerning the SMS and activities it covers,
 - B. A copy of the set of SMS documentation as required by ISO/IEC 20000-1 (current version) and, as required by SMS implementation, applicable Authority criteria, customer requirements, organizational policy, and/or other critical associated documentation.
- Objective of the Stage 1 audit is to provide a focus for planning the Stage 2 audit, by gaining an understanding of the organization's Service Management Policy and objectives and preparedness for the Stage 2 audit.
 - If the audit of the SMS is integrated with ISMS, then the scope of the ISMS must be consistent with the scope of the SMS. If the scope of the ISMS is outside of the scope of the SMS, then an integrated audit is not appropriate and a stand-alone SMS must be quoted and executed without the support of the ISMS. Auditors are to notify the office if stage 2 plans should be converted from integrated to stand alone, based on a failure to meet the criteria identified above.

The Stage 1 shall not be restricted to a documentation review. The documentation review shall be completed prior to the commencement of the Stage 2 audit.

- A. Results of the Stage 1 shall be documented in a written report.
- B. SRI will review the report before deciding to proceed to the Stage 2 audit and selection of team members with the necessary competence.
- C. SRI makes the organization aware of the types of information and records required for examination at the Stage 2 event.

7.6 **Stage 2 Audit**

An audit plan is drafted based on any corrective action notifications documented at the Stage 1 event. If remote auditing is planned, it must be identified per R20.22. Objectives of the Stage 2 audit are;

- A. to confirm that the organization adheres to its own policies, objectives and procedures
- B. to confirm that the SMS conforms to all the requirements of ISO/IEC 20000-1 and is achieving the organization's policy objectives.

7.7 **Audit Team Conclusions and Reporting**

- 7.7.1 SRI shall present the audit report to the client which includes references to clauses/processes listed in the ISO/IEC 20000-1 Third Edition, as a minimum, stating

its conclusions on conformance and effectiveness of the SMS overall to the ISO/IEC 20000-1 requirements. The assessment shall be documented in an appropriate notebook or an electronic facsimile. In the event that registration is denied or suspended, an appropriate course of action shall be agreed between the organization and SRI. Where there is a failure to agree on a course of action, the appropriate appeals procedure (QP 8.0) of SRI may be invoked.

7.8 **Surveillance Activities and Reassessments**

SRI conducts surveillance audits and re-assessments in accordance with ISO/IEC 17021-1 and the requirements of the guidance document. These organizations may also be subject to witness audits as previously described.

- A. Initial assessments shall cover the entire ISO/IEC 20000-1 standard.
- B. Surveillance shall be conducted, as a minimum, once per year.
- C. During a three-year period, the entire ISO/IEC 20000-1 Standard must be completely assessed with important/critical areas covered during surveillance in accordance with IAF Guidance.
- D. The Team leader shall advise whether recorded nonconformance(s) jeopardize an existing certificate.
- E. If transfers are conducted at surveillance and or Reassessments, and the SMS is integrated with the ISMS, then the scope of the ISMS must be consistent with the scope of the SMS. If the scope of the ISMS is outside of the scope of the SMS, then an integrated audit is not appropriate and a stand-alone SMS must be quoted and executed without the support of the ISMS. Auditors are to notify the office if transfer audit plans should be converted from integrated to stand alone, based on a failure to meet the criteria identified above.

7.9 **Certification/Registration**

- 7.9.1 SRI is responsible for ensuring the continued integrity and validity of the certificates it issues and for drawing up and implementing a procedure to enable it to carry out this responsibility.
- 7.9.2 For the SMS Sector qualification program, accredited registration documents shall be in the form of a certificate. Letters of conformance and unaccredited assessment statements, if any, shall be clearly distinguishable from accredited certificates.
- 7.9.3 The certificate(s) shall include the following information at a minimum:
 - A. The appropriate version of the ISO/IEC 20000-1 Standard.
 - B. Effective date and expiration dates, with a maximum period of three years.
 - C. Scope of Registration
- 7.9.4 If desired, separate certificates for the applicable ISO/IEC 20000-1 and ISO 9001 may be issued.
- 7.9.5 All certificates shall be specific in terms of the scope of the SMS and the standard(s) being covered.
- 7.9.6 The certificate(s) shall have marks in accordance with the ANAB requirements. In case of misuse of the marks or logos by SRI, or when ANAB detects systemic nonconformities, the accreditation may be suspended or withdrawn.

7.9.7 If any member of the RRP and/or the Certification Director (or equivalent) rejects the registration process, or disagrees with the Audit Team, SRI shall attempt to correct or resolve any items or issues that are the basis for disapproval. If an agreement cannot be reached between the RRP members and the Certification Director, the Certification Director shall in writing submit the RRP conclusions to the President & COO for resolution. The COO will then choose a third properly qualified individual. The third individual then resolves the issue through majority agreement. (QP-3)

7.9.8 Competencies required for the certification decision include;

- A. General knowledge of business operations, legal, and regulatory requirements pertaining to the industry sector
- B. Excellent communication and people skills
- C. Team and goal oriented
- D. Ability to work under pressure and meet deadlines
- E. Proficiency in or knowledge of using a variety of computer software applications including Office 365, Sharepoint, and other generally-accepted common office suites and web applications.
- F. Excellent attention to detail
- G. Ability to exercise strong judgment in analyzing, appraising, evaluating, and solving problems of a difficult procedural, organizational, administrative, or technical nature
- H. Negotiating skills
- I. Knowledge of organizational structure, workflow, business practices, and operating procedures
- J. At least 4 years Industry Experience, including at least 2 years in Quality Control and Quality Assurance
- K. At least a Secondary Education plus experience or College Degree
- L. Qualified Lead Auditor or Equivalent Experience
- M. Varied Sector Specific background
- N. Knowledge of various standards, methods and certification requirements and accreditation requirements
- O. Knowledge of the Registration Review Process
- P. Understanding of ISO 19011 and report content
- Q. Ability to handle confidential information
- R. Ability to review and determine auditor competency and oversee /perform internal witness events (IWA). Overall responsible for the IWA system.
- S. Background, experience and or training in the cited standard as applied to the RRP in process.

7.9.8.1 Competence is ascertained during annual reviews as conducted by the President and COO.

8.0 **Authentication and Oversight of Accreditation Bodies, Certification/Registration Bodies, and Auditors**

8.1 ANAB shall have primary responsibility to oversee the activities of all recognized organizations under this system.

8.2 Sector qualification of SRI shall be approved by the ANAB and be conducted in accordance with procedures and the requirements of ISO/IEC 20000-1, current edition. This includes an annual ANAB review to evaluate the effectiveness of the

process for recognition of SRI. The review shall be in accordance with ANAB procedures.

- 8.3 Oversight performed by other member companies and ANAB or SRI, including witness audit results, shall be used by ANAB and SRI assessment evaluation. Any issues resulting from oversight should be relayed to SRI for action and follow-up.
- 8.4 SRI's internal appeals/complaint process is to be used before other actions are taken. If any client cannot resolve issues with SRI then the matter shall be referred to ANAB or hierarchical accrediting body oversight organizations, as appropriate. If the problem is related to SRI performance and cannot be resolved to the satisfaction of the organization or the OEM(s) involved, and when all levels of appeal have been exhausted, the matter may be referred to the appropriate Authority.
- 8.5 ANAB may suspend or withdraw the sector qualification of SRI.
- 8.6 Auditor credentials are valid for three years and may be renewed based on the proof of continuing education and performance of required assessments.

9.0 **Records of Applicants and clients**

9.1 Records are retained for the duration of the current cycle plus one full certification cycle.

Note: In some jurisdictions, the law stipulates that records need to be maintained for a longer time period.