Att.:all accredited and applicant Certification Bodies operating QMS, ISMS and ITSM certification.

Our Ref.: DC2015SSV023 *Milan,* 26/01/2015

re: **Accredia Dept. of Certification and Inspection – Circular N° 01/2015**
Informative communication regarding accreditation for the certification scheme ISO 22301:2012 - Business Continuity Management Systems (BCMS revision 1)

This information supersedes the previous ACCREDIA circular DC2013UTN083 of 10/01/2014.

Introduction

In the current market conditions where organizations base their success and ability to satisfy client needs, processes are driven hard towards the reduction of costs and in some sectors, such as information and communication technology, automotive, aerospace, defense, railways, hospitals, banking, insurance, the capacity to provide products and services – also when adverse circumstances compromise operations, this is becoming a decisive factor. Processes need to be thought out in terms of risk management and taking into consideration the elements which may limit capacities to reach goals, especially more critical ones.
Certification of a management system for operative continuity does not substitute certification for specific risk areas (environment, health and safety) given that the approach to the management of emergencies is limited to the major ones and always regards business and institutional aims which are not specific for the environment, health and safety. This does not mean that an organization developing a Business Continuity Management System should not foresee the management of any possible crises.

Standards
ISO 22301:2012 is the standard for Business Continuity Management Systems for companies in all sectors. It sets out the necessary processes for an operative MS (management system) and is based on the module PDCA and on the recent “Annex SL”, defined at ISO level as the new reference model for MSs for which a common structure and text have been defined for all MS areas so as to promote integration in the broadest possible MS system for companies.

ISO 22301:2012 can be integrated with other standards, e.g. ISO 9001 - quality - ISO/IEC 20000 – IT services management - ISO/IEC 27001 – information security.

The aim of ISO 22301:2012 is to provide a guide for defining a BCMS which can meet the needs of those involved. It is used by the Public Authorities for their documents such as the Code of Digital Administration.

ISO 22301:2012 is intended for use for BCMS certification.

CBs can decide whether or not to apply for accreditation. ACCREDIA can confirm the accreditation of CABs to other ABs or authorities only if the accreditation scope explicitly contains reference to ISO 22301:2012.

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1) Accreditaton standards and regulations

Accreditation standard	UNI CEI EN ISO/IEC 17021:2011
Criteria of competence of the CB's audit team	The requirements of § 7 of UNI CEI EN ISO/IEC 17021:2012 are applicable with the following specifications, consistent with ISO/IEC TS 17021-6. CBs shall show that the staff involved in the management, evaluation and review of the application possess specific competences. a) Necessary competences for the management of the application and the review • Knowledge of BCM terminology (see ISO 22300:2012); • Basic knowledge of Risk Management terminology; • Comprehension of the basic requirements of operative continuity; • Knowledge of the basic logic and requirements of the MS; • Knowledge of the laws and standards applicable to MSs for operative continuity in the sectors in which the CB operates. b) Necessary competences for deciding the issue of certification • Knowledge of the terminology of 22300:2012; • Knowledge of risk management terminology; • Knowledge of the basic criteria for conducting a risk management; • Knowledge of the meaning and use of Business Impact Analysis; • Knowledge of the requirements of § 9 of UNI CEI EN ISO/IEC 17021:2012; • Specific knowledge of ISO 22301:2012; • Knowledge of the business continuity schemes or the schemes it can be applied to (e.g. ISO 9001, ISO/IEC 27001 or ISO/IEC 20000); • Knowledge of the main characteristics of the reference sector of the organization (products, services, main processes, legislation, public service requirements); • Knowledge of ISO 31000. c) Competence of the audit team The audit team shall consist of professionals, and, when necessary, technical and legal experts, able to understand fully the applicable requirements of ISO 22301:2012 as well as points a and b above. If team members are qualified for other MSs they must have passed a course of 24 hours, with exam, regarding knowledge of ISO 22301. If they are qualified for information security system management (ISO/IEC 27001), the course can be 8 hours with final exam. If they are not qualified they must pass a course of 40 hours in BCMS auditing. Lead Auditors operating in the BCMS scheme must have at least 10 years' experience of which 5 as Lead Auditor. Sectors applicable to ISO 22301. A. Industry and relative distribution (e.g. pharmaceutical, food) B. Critical infrastructures (energy distribution, communications, transport etc) C. Energy production (refineries, power plants etc.) D. Public Authorities (if not already included)

	E. Health (e.g.: structures with reanimation units, ORs, intensive care, respiratory support) F. Services G. Financial and courier services (banks, insurance, money transfer) H. IT services (invoices, Internet Service Provider etc.)
Audit times and criteria	The QMS table of IAF MD 5 is applicable. The calculation of audit days as specified in IAF MD 5 shall take into consideration specifically the human resources used in the processes covered by the certification independently of the form of contract in question, and also the external resources involved in the processes of the scope. Only factors increasing the time foreseen by IAF MD 5 can be applied, given the greater structural complexity of BCMS. In cases of multi-site organizations with sampling, as defined in IAF MD 1 and multi-site organizations without sampling (IAF doc due for publication in the near future) the criteria for size and sampling will be applied as per the document. A reduction factor of 10% is applicable owing to non-implementation of all the requirements of the standards. IAF MD 11:2013 Application of ISO/IEC 17021 for Audits of Integrated Management Systems (IMS) is applicable. Time will be added according to the complexity of the processes managed by the organization for operative continuity. • An additional day for each audit of the first certification cycle for organizations which do not have QMS, ISMS or ITSM certification issued under accreditation for the same processes within the field of application of the BCMS. • At least 0.5 day for each audit site (including head office). This is necessary to verify measures taken for the specific needs of operative continuity. Transfer times are calculated separately. CBs shall have a documental procedure for calculating the duration of audits so as to obtain repeatable results if applied to different operations of the same organizations and which also permits the verification of calculations carried out on the basis of formulated hypotheses. Both Stages 1 and 2 shall be conducted on-site at the organizations location/s. All audits shall include training for operative continuity and the evaluation of the performance of simulations. At every audit the team shall be present for the performance of at least one simulation of implementation of an Operative Business Continuity Plan. The three-year certification circle should also include the performance of all the operative continuity plans defined by the organization. The lead auditor shall ensure that the risk analysis carried out by the organization, in particular the business impact analysis, takes into account the risk management criteria in a way that makes sense to the interested parties and in particular that a tolerance level was established for the operative continuity management processes. Depending on the interested parties, the risk calcu-

	lation can be based on different criteria: for property they can pertain to economics and reputation, for collective activities they can be more operative. The lead auditor shall include in the audit report sufficient information to guarantee that the risk analysis and the BIA make sense to the interested parties and that the organization's actions to respond to risks are in line with this evaluation. CBs can grant MS conformity certification for BCMS also limited to specific business units or specific processes as long as an assessment has been made of all interactions between these business units and processes and the remaining business units and processes of the organization. Certification cannot be granted to processes which do not present real criticalities concerning a service or final product (as they are placed on the market), in other words, that do not show criticalities for operative continuity against the requirements of the various interested parties. The scope of certification, including the processes, shall refer clearly to the operative units and sites in question. For example, a company which undertakes the service of keeping documents such as those operating in the field of the process of electronic invoicing required by the Public Authorities, shall be certified clearly for this service and not for non-critical processes so as to avoid that the certification is not properly used, undermining the credibility of accreditation. Only processes which have been assessed can be certified and used on conformity certificates issued by the CB. The CB can evaluate whether or not to include in the certificate specific plants or sites, as long as this does not conflict with the principle of transparency of the scope of certification. Normally the scope of certification of an MS of operative continuity shall be aimed at the maintenance of operative continuity of one or more business or institutional areas rather than the survival of specific plants: for example, for an industrial group the scope can be to maintain the flow of goods or services delivered to the market, while for a Public Authority it could be a public service. The completeness and accuracy of a scope of certification must be confirmed at every audit. The update of the risk analysis, of the BIA, of the management of the training program and the relative practical activities with reference to the interactive scenarios identified by the analysis of impact on business shall be evaluated at every audit. These evaluations shall also take into account the performances, reliability and exposure to risk of suppliers. An audit shall be undertaken separately for outsourced services. The legal requirements regarding the management of operative continuity are many, and often tied to a "critical infrastructure" and to the principles of national and European security. The audit team shall ensure that the continuity MS guarantees to the organization that it has knowledge, manages external origin documents and respects the applicable rules, understands the obligations and the opportunities available for the organization. The audit team shall also verify that the choices of the organization with regard to operative continuity shall be in line with the applicable laws.

Objective of the audit	To verify the conformity of the business continuity MS with the requirements of ISO 22301:2012. There can be no exemptions from the requirements.
Certificate	It shall refer to ISO 22301:2012 or to UNI CEI EN ISO 22301:2014. Write the IAF sector analogous to the ISO 9001 certificates.

2) Accreditation process

There can be various cases with regard to ACCREDIA accreditations already held by CBs presenting an application for accreditation or extension.
The requirements of RG-01 remain unchanged for granting accreditation and extension (e.g. for the conclusion of the extension process the CB is obliged to have issued at least two certifications in the extension scheme).

BCMS accreditation is issued for sectors:

These are the sectors applicable to ISO 22301:

A. Industry and distribution
B. Critical infrastructures
C. Energy production
D. Public Administration (if not already included in the previous sectors)
E. Health
F. Services
G. Financial and courier services
H. IT services

See the attached table for the relationship between the IAF and the ISO 22301 sectors.

The CB shall indicate in the certificate the pertinent sectors of the certified organization.

ACCREDIA shall undertake a witness visit

- At, at least one, organization accredited for this certification scheme
- for sectors B, C, E and H a witness is always necessary before granting extension to the sector
- for sectors A, D, F and G a documental review is sufficient before granting extension to the sector

it is possible that one witness is enough for granting in a number of sectors if relevant for the organization and if they have been subjected to a vaild assessment.

A CB which is already accredited for ISO 17021:2011, for ISO 27001 or for ISO 20000	Document examination of half a day On-site audit of half a day. If necessary closure/integration of document review: 1 day. Witness in accordance with the above rules
A CB which is already accredited for ISO 17021:2011 but not for ISO 27001 or ISO 20000	Document examination of half a day Audit at the main office of 2 days. Witness in accordance with the above rules
CB not yet accredited ISO	Document examination of 1 day

17021:2011, but accredited for other accreditation schemes	Audit at the CB's head office of 2 days Witness audit in accordance with the above rules
CB not accredited in any scheme	Document examination of 1 day Audit at the CB's head office of 4 days Witness audit in accordance with the above rules

Documents to be presented to ACCREDIA for examination:

a) Checklist, guideline or instructions made available to the audit team by the CB with specific indications regarding the laws related to the requested sectors
b) CVs of the auditors and decision-makers.
c) Module of the audit report
d) Attestation/certificate issued by the CB
e) List of certificates already issued and of upcoming audit activities (if a witness audit is necessary).
f) Contractual procedures/regulations applicable to the audit as well as internal procedures for the management of the certification
g) For CBs without ISO/IEC 17021 accreditation, as well as the above documents, it is necessary to send all the documents required for the application of accreditation.

3) Maintenance of accreditation

For the maintenance of accreditation, during the whole accreditation cycle, despite specific situation (eg.: handling complaints, modifications in the certification scheme, news in the CB composition…), the following assessments shall be conducted:

- If the CB has granted up to 50 certificates, at least 2 witness assessments and 1 office assessment shall be carried out in the accreditation cycle
- If the CB has granted from 51 to 200 certificates, at least 2 witness assessments and 1 office assessment shall be carried out in the accreditation cycle
- If the CB has granted more than 201 certificates, at least 3 witness assessments and 1 office assessments shall be carried out in the accreditation cycle

We remain available for any clarification.

With kind regards,

Emanuele Riva
Director of the Department

Correlation table between IAF and BCMS sectors

IAF	Description of IAF sector	BCMS sector
31	Transport, storage and communication	1 financial and courier services
32	Financial intermediation; real estate; renting	1 financial and courier services
31a	Logistics: transport,storage and courier services	1 financial and courier services
31b	Post and Telecommunication	1 financial and courier services
32a	Financial intermediation and auxiliary activities to intermediation	1 financial and courier services
32b	Insurance and pension funds, excluding obligatory social insurance; auxiliary insurance, pension funds, property, renting, professional and business activities	1 financial and courier services
33	IT	2 IT services
1	Agriculture, fishing	3 Industry and distribution
2	Mining and quarrying	3 Industria e relativa distribuzione
3	Food products, beverages and tobacco	3 Industry and distribution
4	Textiles and textile products	3 Industry and distribution
5	Leather and leather products	3 Industry and distribution
6	Wood and wood products	3 Industry and distribution
7	Pulp, paper and paper products	3 Industry and distribution
8	Publishing companies	3 Industry and distribution
9	Printing and related companies	3 Industry and distribution
10	Manufacture of coke and refined petroleum products	3 Industry and distribution
12	Chemicals, chemical products and fibres	3 Industry and distribution
13	Pharmaceuticals	3 Industry and distribution
14	Rubber and plastic products	3 Industry and distribution
15	Non-metallic mineral products	3 Industry and distribution
16	Concrete, cement, lime, plaster etc	3 Industry and distribution
17	Metals and alloys and fabricated metal products	3 Industry and distribution
18	Machinery, equipment and mechanical systems	3 Industry and distribution
19	Electrical and optical equipment	3 Industry and distribution
20	Shipbuilding and repairing	3 Industry and distribution
21	Aerospace and space vehicles	3 Industry and distribution
24	Recycling	3 Industry and distribution
28	Construction, installation of plants and services	3 Industry and distribution
17a	Metallurgy	3 Industry and distribution
17b	Manufacture of metal products excluding machines and plants	3 Industry and distribution
19a	Medical devices	3 Industry and distribution
19b	Sterilization of medical devices	3 Industry and

IAF	Description of IAF sector	BCMS sector
		distribution
22a	Production of cycles, motorbikes, vehicles, trailers, parts and accessories	3 Industry and distribution
22b	Production of railway material and accessories	3 Industry and distribution
23a	Production of jewellery	3 Industry and distribution
23b	Production of musical instruments	3 Industry and distribution
23c	Production of sporting goods	3 Industry and distribution
23d	Production of games and toys	3 Industry and distribution
23e	Furniture production and furnishing	3 Industry and distribution
23f	Prefabricated products for insulation and their application	3 Industry and distribution
28a	Construction and maintenance organizations	3 Industry and distribution
28b	Organizations performing the design, production and maintenance of plants	3 Industry and distribution
25	Electricity production and supply	4 Energy producton
38a	Hospital services	5 Health
38b	Other health services: medical studies and dentistry	5 Health
38c	Other health services: clinical analysis labs, Hygiene and prevention labs, Diagnostic imaging labs	5 Health
38d	Professional, independent, paramedical activities and ambulance, blood banks and other health services	5 Health
38	Health and social services	5 Health
11	Nuclear fuel	6 Critical infrastructures
26	Gas production and supply	6 Critical infrastructures
27	Water production and supply	6 Critical infrastructures
39a	Disposal of solid waste, sewage and similar	6 Critical infrastructures
36	Public administration authorities	7 Pubblic administration authorities
30	Hotels, restaurants and bars	8 Services
35	Professonal business services	Services
37	Education	Services
39	Public services	Services
29a	Wholesale and retail trade and intermediation	Services
29b	Repair of motor vehicles, motorcycles	Services
29c	Repair of personal and household goods	Services
34a	Research and development	Services
34b	Architecture and engineering services	Services
38e	Veterinary services	Services
38f	Health and social work	Services
39b	Other social services	Services