# SLOVENSKI STANDARD
# oSIST prEN ISO/IEC 17021-2:2009

## 01-november-2009

**Ugotavljanje skladnosti - Zahteve za organe, ki presojajo in certificirajo sisteme vodenja, in zahteve za tretje stranke, ki presojajo certificiranje sistemov vodenja - 2. del: Zahteve za tretje stranke, ki presojajo certificiranje sistemov vodenja (ISO/IEC/DIS 17021-2:2009)**

Conformity assessment - Requirements for bodies providing audit and certification of management systems and requirements for third-party certification auditing of management systems - Part 2: Requirements for third party certification auditing of management systems (ISO/IEC/DIS 17021-2:2009)

Konformitätsbewertung - Teil 2: Anforderungen an Drittparteien - Zertifizierungsaudits von Managementsystemen (ISO/IEC/DIS 17021-2:2009)

Évaluation de la conformité - Exigences pour les organismes procédant à l'audit et à la certification des systèmes de management et exigences pour l'audit de certification par une tierce partie de systèmes de management - Partie 2: Exigences pour l'audit de certification par une tierce partie de systèmes de management (ISO/IEC/DIS 17021-2:2009)

**Ta slovenski standard je istoveten z:**        **prEN ISO/IEC 17021-2**

**ICS:**

| | | |
|---|---|---|
| 03.120.20 | Certificiranje proizvodov in podjetij. Ugotavljanje skladnosti | Product and company certification. Conformity assessment |

**oSIST prEN ISO/IEC 17021-2:2009**        **en**

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# EUROPEAN STANDARD

# NORME EUROPÉENNE

# EUROPÄISCHE NORM

# DRAFT
# prEN ISO/IEC 17021-2

September 2009

ICS 03.120.20

English version

# Conformity assessment - Requirements for bodies providing audit and certification of management systems and requirements for third-party certification auditing of management systems - Part 2: Requirements for third party certification auditing of management systems (ISO/IEC/DIS 17021-2:2009)

Évaluation de la conformité - Exigences pour les organismes procédant à l'audit et à la certification des systèmes de management et exigences pour l'audit de certification par une tierce partie de systèmes de management - Partie 2: Exigences pour l'audit de certification par une tierce partie de systèmes de management (ISO/IEC/DIS 17021-2:2009)

Konformitätsbewertung - Teil 2: Anforderungen an Drittparteien - Zertifizierungsaudits von Managementsystemen (ISO/IEC/DIS 17021-2:2009)

This draft European Standard is submitted to CEN members for parallel enquiry. It has been drawn up by the Technical Committee CEN/CLC/TC 1.

If this draft becomes a European Standard, CEN and CENELEC members are bound to comply with the CEN/CENELEC Internal Regulations which stipulate the conditions for giving this European Standard the status of a national standard without any alteration.

This draft European Standard was established by CEN and CENELEC in three official versions (English, French, German). A version in any other language made by translation under the responsibility of a CEN and or CENELEC member into its own language and notified to the CEN Management Centre has the same status as the official versions.

CEN and CENELEC members are the national standards bodies and national electrotechnical committees, respectively, of Austria, Belgium, Bulgaria, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Iceland, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Norway, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, Switzerland and United Kingdom.

Recipients of this draft are invited to submit, with their comments, notification of any relevant patent rights of which they are aware and to provide supporting documentation.

**Warning** : This document is not a European Standard. It is distributed for review and comments. It is subject to change without notice and shall not be referred to as a European Standard.

Ref. No. prEN ISO/IEC 17021-2:2009 E

prEN ISO/IEC 17021-2:2009 (E)

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# Foreword

This document (prEN ISO/IEC 17021-2:2009) has been prepared by Technical Committee ISO/CASCO "Committee on conformity assessment" in collaboration with Technical Committee CEN/CLC/TC 1 "Criteria for conformity assessment bodies" the secretariat of which is held by BSI.

This document is currently submitted to the parallel Enquiry.

### Endorsement notice

The text of ISO/IEC/DIS 17021-2:2009 has been approved by CEN as a prEN ISO/IEC 17021-2:2009 without any modification.

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**DRAFT INTERNATIONAL STANDARD** ISO/IEC 17021-2

**CASCO**

Secretariat: **ISO/CS**

Voting begins on
**2009-09-17**

Voting terminates on
**2010-02-17**

# Conformity assessment — Requirements for bodies providing audit and certification of management systems and requirements for third-party certification auditing of management systems —

## Part 2:
## Requirements for third party certification auditing of management systems

*Evaluation de la conformité — Exigences pour les organismes procédant à l'audit et à la certification des systèmes de management et exigences pour l'audit de certification par une tierce partie de systèmes de management —*

*Partie 2: Exigences pour l'audit de certification par tierce partie de systèmes de management*

ICS 03.120.20

### ISO/CEN PARALLEL PROCESSING

This draft has been developed within the International Organization for Standardization (ISO), and processed under the **ISO-lead** mode of collaboration as defined in the Vienna Agreement.

This draft is hereby submitted to the ISO member bodies and to the CEN member bodies for a parallel five-month enquiry.

Should this draft be accepted, a final draft, established on the basis of comments received, will be submitted to a parallel two-month approval vote in ISO and formal vote in CEN.

This draft is submitted to a parallel enquiry in ISO and a CDV vote in the IEC.

**In accordance with the provisions of Council Resolution 15/1993 this document is circulated in the English language only.**

**Conformément aux dispositions de la Résolution du Conseil 15/1993, ce document est distribué en version anglaise seulement.**

**To expedite distribution, this document is circulated as received from the committee secretariat. ISO Central Secretariat work of editing and text composition will be undertaken at publication stage.**

**Pour accélérer la distribution, le présent document est distribué tel qu'il est parvenu du secrétariat du comité. Le travail de rédaction et de composition de texte sera effectué au Secrétariat central de l'ISO au stade de publication.**

**ISO/IEC DIS 17021-2**

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**ISO/IEC DIS 17021-2**

# 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 conformity assessment, the ISO Committee on conformity assessment (CASCO) is responsible for the development of International Standards and Guides.*

*International Standards are drafted in accordance with the rules given in the ISO/IEC Directives, Part 2.*

*Draft International Standards are circulated to the member bodies for voting. Publication as an International Standard requires approval by at least 75 % of the member bodies casting a vote.*

*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.*

ISO/IEC 17021-2 *was prepared by the ISO Committee on conformity assessment (CASCO).*

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*It was circulated for voting to the member bodies of both ISO and IEC, and was approved by both organizations.*

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ISO/IEC 17021 consists of the following parts, under the general title *Conformity assessment —*
*Requirements for bodies providing audit and certification of management systems and requirements for third-party certification auditing of management systems.*

⎯ *Part 1: Requirements for bodies providing audit and  certification of management systems*

⎯ *Part 2: Requirements for third-party certification auditing of management systems*

The text in italics is original ISO/IEC 17021:2006 text. The text in normal blue font is 17021-2 text.

In this International Standard, the word "shall" indicates a requirement and the word "should" a recommendation.

# Introduction

*Certification of a management system, such as a quality or environmental management system of an organization, is one means of providing assurance that the organization has implemented a system for the management of the relevant aspects of its activities, in line with its policy.*

*This International Standard specifies requirements for certification bodies. Observance of these requirements is intended to ensure that certification bodies operate management system certification in a competent, consistent and impartial manner, thereby facilitating the recognition of such bodies and the acceptance of their certifications on a national and international basis. This International Standard serves as a foundation for facilitating the recognition of management system certification in the interests of international trade.*

*Certification of a management system provides independent demonstration that the management system of the organization*

*a)   conforms to specified requirements,*

*b)   is capable of consistently achieving its stated policy and objectives, and*

*c)   is effectively implemented.*

*Conformity assessment such as certification of a management system thereby provides value to the organization, its customers and interested parties.*

*In this International Standard, Clause 4 describes the principles on which credible certification is based. These principles help the reader to understand the essential nature of certification and they are a necessary prelude to Clauses 5 to 10. These principles underpin all the requirements in this International Standard, but such principles are not auditable requirements in their own right. Clause 10 describes two alternative ways of supporting and demonstrating the consistent achievement of the requirements in this International Standard through the establishment of a management system by the certification body.*

*This International Standard is intended for use by bodies that carry out audit and certification of management systems. It gives generic requirements for such certification bodies performing audit and certification in the field of quality, environmental and other forms of management systems. Such bodies are referred to as certification bodies. This wording should not be an obstacle to the use of this International Standard by bodies with other designations that undertake activities covered by the scope of this document.*

*Certification activities involve the audit of an organization's management system. The form of attestation of conformity of an organization's management system to a specific management system standard or other normative requirements is normally a certification document or a certificate.*

The publication of this International Standard includes the text of ISO/IEC 17021:2006, including amendments to delete relevant references to ISO 19011, with new text adding specific requirements for third-party auditing and the management of competence. This International Standard will be designated as ISO/IEC 17021 Part 2 (ISO/IEC 17021-2).

Specific market needs have already been identified, resulting from a lack of specific and recognized requirements for third-party auditors of management systems, such as quality management systems, environmental management systems or food safety management systems. ISO 19011:2002 provides only non-mandatory guidance on auditor competence. The lack of requirements for auditor competence and the way in which these auditors are managed and deployed has been identified by key stakeholders, including industry stakeholder groups, as being a drawback.

ISO/IEC 17021-2 provides a set of requirements for management systems auditing at a generic level aimed at providing a reliable determination of conformity to the applicable requirements for certification, conducted by a

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competent audit team, with adequate resources and following a consistent process, with the results reported in a consistent manner.

This International Standard will be used as the basis for recognizing the competence of third-party auditing and certification of management systems and as a criteria document for accreditation. It can also be used for peer assessment or other audit processes.

ISO/IEC 17021-2 is a horizontal standard that is applicable to the auditing and certification of any type of management system. It is recognized that some of the requirements, and in particular those related to auditor competence, can be supplemented with additional criteria in order to achieve the expectations of the interested parties.

ISO has recognized these needs and has established a process for technical experts from CASCO to liaise with specific Technical Committees to provide for the participation of subject matter experts for the technology (from the Technical Committee) as well as conformity assessment (from CASCO) in order to ensure technically appropriate consistency. It is expected that such supplementary documents will reference all the requirements in ISO/IEC17021-2 and only add to these requirements, as needed.

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# Conformity assessment — Requirements for bodies providing audit and certification of management systems and requirements for third-party certification auditing of management systems —

## Part 2:
## Requirements for third party certification auditing of management systems

## 1 Scope

*This International Standard contains principles and requirements for the competence, consistency and impartiality of the audit and certification of management systems of all types (e.g. quality management systems or environmental management systems) and for bodies providing these activities. Certification bodies operating to this International Standard need not offer all types of management system certification.*

*Certification of management systems (named in this International Standard "certification") is a third-party conformity assessment activity (see ISO/IEC 17000:2004, 5.5). Bodies performing this activity are therefore third-party conformity assessment bodies (named in this International Standard "certification body/bodies").*

*NOTE 1　　Certification of a management system is sometimes also called "registration", and certification bodies are sometimes called "registrars".*

*NOTE 2　　A certification body can be non-governmental or governmental (with or without regulatory authority).*

*NOTE 3　　This International Standard can be used as a criteria document for accreditation or peer assessment or other audit processes.*

This International Standard supplements the existing requirements of ISO/IEC 17021:2006 and provides additional requirements with respect to the audit process and the management of competence. This International Standard provides a framework for the development of specific criteria for third-party certification auditing and management of competence for different types of management systems or sector applications.

## 2 *Normative references*

*The following referenced documents are indispensable for the application 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 9000:2005, Quality management systems — Fundamentals and vocabulary*

~~*ISO 19011:2002, Guidelines for quality and/or environmental management systems auditing*~~[1]

*ISO/IEC 17000:2004, Conformity assessment — Vocabulary and general principles*

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[1] ~~References in this document to the relevant guidance in ISO 19011 apply to the auditing of all other types of management systems.~~