SLOVENSKI STANDARD
SIST EN ISO/IEC 17021:2011

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Nadomešča:

SIST EN ISO/IEC 17021:2006

Ugotavljanje skladnosti - Zahteve za organe, ki presojajo in certificirajo sisteme vodenja (ISO/IEC 17021:2011)

Conformity assessment - Requirements for bodies providing audit and certification of management systems (ISO/IEC 17021:2011)

Konformitätsbewertung - Anforderungen an Stellen, die Managementsysteme auditieren und zertifizieren (ISO/IEC 17021:2011)

Évaluation de la conformité - Exigences pour les organismes procédant à l'audit et à la certification des systèmes de management (ISO/IEC 17021:2011)

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ICS:

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

SIST EN ISO/IEC 17021:2011 en

EUROPEAN STANDARD

NORME EUROPÉENNE

EUROPÄISCHE NORM

EN ISO/IEC 17021

February 2011

ICS 03.120.20

Supersedes EN ISO/IEC 17021:2006

English version

Conformity assessment - Requirements for bodies providing audit and certification of management systems (ISO/IEC 17021:2011)

Évaluation de la conformité - Exigences pour les organismes procédant à l'audit et à la certification des systèmes de management (ISO/IEC 17021:2011)

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This European Standard was approved by CEN on 17 January 2011.

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

CEN and CENELEC members are the national standards bodies and national electrotechnical committees of Austria, Belgium, Bulgaria, Croatia, 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.

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Foreword

This document (EN ISO/IEC 17021:2011) has been prepared by the Committee on conformity assessment in collaboration with Technical Committee CEN/CENELEC/TC 1 “Criteria for conformity assessment bodies” the secretariat of which is held by BSI.

This European Standard shall be given the status of a national standard, either by publication of an identical text or by endorsement, at the latest by August 2011, and conflicting national standards shall be withdrawn at the latest by August 2011.

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. CEN [and/or CENELEC] shall not be held responsible for identifying any or all such patent rights.

This document supersedes EN ISO/IEC 17021:2006.

According to the CEN/CENELEC Internal Regulations, the national standards organizations of the following countries are bound to implement this European Standard: Austria, Belgium, Bulgaria, Croatia, 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 the United Kingdom.

Endorsement notice

The text of ISO/IEC 17021:2011 has been approved by CEN as a EN ISO/IEC 17021:2011 without any modification.

INTERNATIONAL STANDARD

ISO/IEC 17021

Second edition
2011-02-01

Conformity assessment — Requirements for bodies providing audit and certification of management systems

Évaluation de la conformité — Exigences pour les organismes procédant à l'audit et à la certification des systèmes de management

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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 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 was prepared by the *ISO Committee on conformity assessment* (CASCO).

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

This second edition cancels and replaces the first edition (ISO/IEC 17021:2006), which has been revised to expand the scope. The first edition is provisionally retained for a period of one year until the systematic review of this second edition.

This International Standard has also been published in an unofficial, marked version indicating changes from the previous edition.

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 certification auditing and the management of competence of personnel involved in certification.

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. The lack of requirements for auditor competence and the way in which these auditors are managed and deployed has been identified by key interested parties, including industry interested parties, as being a drawback.

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

This International Standard 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.

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

Conformity assessment — Requirements for bodies providing audit and certification 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.

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

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 9000, ISO/IEC 17000 and the following apply.

3.1
certified client
organization whose management system has been certified

3.2
impartiality
actual and perceived presence of objectivity

NOTE 1 Objectivity means that conflicts of interest do not exist or are resolved so as not to adversely influence subsequent activities of the certification body.