
**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)

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

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

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NACIONALNI UVOD

Standard SIST EN ISO/IEC 17021 (sl,en), Ugotavljanje skladnosti – Zahteve za organe, ki presoajo in certificirajo sisteme vodenja (ISO/IEC 17021:2011), 2011, ima status slovenskega standarda in je istoveten evropskemu standardu EN ISO/IEC 17021, Conformity assessment – Requirements for bodies providing audit and certification of management systems (ISO/IEC 17021:2011), 2011.

NACIONALNI PREDGOVOR

Besedilo standarda EN ISO/IEC 17021:2011 je pripravil tehnični odbor ISO/CASCO "Odbor za ugotavljanje skladnosti" v sodelovanju s tehničnim odborom CEN/CLC/TC 1 "Merila za organe za ugotavljanje skladnosti", katerega sekretariat vodi BSI. Slovenski standard SIST EN ISO/IEC 17021:2011 je prevod angleškega besedila evropskega standarda EN ISO/IEC 17021:2011. V primeru spora glede besedila slovenskega prevoda v tem standardu je odločilen izvirni evropski standard v angleškem jeziku. Slovensko-angleško izdajo standarda je pripravil SIST/TC UGA Ugotavljanje skladnosti.

Odločitev za izdajo tega standarda je 3. marca 2011 sprejel SIST/TC UGA Ugotavljanje skladnosti.

ZVEZE S STANDARDI

S privzemom tega evropskega standarda veljajo za omejeni namen referenčnih standardov vsi standardi, navedeni v izvirniku, razen standardov, ki so že sprejeti v nacionalno standardizacijo:

SIST EN ISO 9000:2005 Sistemi vodenja kakovosti – Osnove in slovar (ISO 9000:2005)

SIST EN ISO/IEC 17000:2005 Ugotavljanje skladnosti – Slovar in splošna načela (enakovreden z ISO/IEC 17000:2004)

OSNOVA ZA IZDAJO STANDARDA

- Privzem standarda EN ISO/IEC 17021:2011/IEC 17021:2011

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PREDHODNA IZDAJA

- SIST EN ISO/IEC 17021:2006.

OPOMBE

- Povsod, kjer se v besedilu standarda uporablja izraz "mednarodni standard", v SIST EN ISO/IEC 17021:2011 to pomeni "slovenski standard".
- Nacionalni uvod in nacionalni predgovor nista sestavni del standarda.
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Slovenska izdaja

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iTeh STANDARD PREVIEW
Ta evropski standard je CEN sprejel 17. januarja 2011.

Člani CEN in CENELEC morajo izpolnjevati določila notranjih predpisov CEN/CENELEC, s katerimi je predpisano, da mora biti ta standard brez kakršnih koli sprememb sprejet kot nacionalni standard. Najnovejši seznam teh nacionalnih standardov z njihovimi bibliografskimi podatki se na zahtevo lahko dobijo pri Upravnem centru CEN-CENELEC ali katerem koli članu CEN in CENELEC.

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Predgovor

Ta dokument (EN ISO/IEC 17021:2011) je pripravil Odbor za ugotavljanje skladnosti v sodelovanju s tehničnim odborom CEN/CENELEC/TC 1 "Merila za organe za ugotavljanje skladnosti", katerega sekretariat vodi BSI.

Ta evropski standard mora z objavo istovetnega besedila ali z razglasitvijo dobiti status nacionalnega standarda najpozneje do avgusta 2011, nacionalne standarde, ki so v nasprotju s tem standardom, pa je treba umakniti najpozneje do avgusta 2011.

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Ta dokument nadomešča EN ISO/IEC 17021:2006.

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Razglasitvena objava

Besedilo ISO/IEC 17021:2011 je CEN odobril brez sprememb kot EN ISO/IEC 17021:2011.

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.

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Predgovor

ISO (Mednarodna organizacija za standardizacijo) in IEC (Mednarodna elektrotehniška komisija) tvorita specializiran sistem za svetovno standardizacijo. Nacionalni organi, ki so člani ISO ali IEC, sodelujejo pri pripravi mednarodnih standardov prek tehničnih odborov, ki jih za obravnavanje določenih strokovnih področij ustanovi ustrezna organizacija. Tehnični odbori ISO in IEC sodelujejo na področjih skupnega interesa. Pri delu sodelujejo tudi druge mednarodne, vladne in nevladne organizacije v povezavi z ISO in IEC. Odbor ISO za ugotavljanje skladnosti (CASCO) je odgovoren za pripravo mednarodnih standardov in vodil na področju ugotavljanja skladnosti.

Mednarodni standardi so pripravljeni skladno s pravili, podanimi v Direktivah ISO/IEC, 2. del.

Osnutki mednarodnih standardov se pošljejo nacionalnim organom v glasovanje. Za objavo mednarodnega standarda je treba pridobiti soglasje vsaj 75 odstotkov nacionalnih organov, ki glasujejo.

Opozoriti je treba na možnost, da je lahko nekaj elementov tega dokumenta predmet patentnih pravic. ISO ne prevzema odgovornosti za prepoznavanje katerih koli ali vseh takih patentnih pravic.

ISO/IEC 17021 je pripravil *Odbor ISO za ugotavljanje skladnosti* (CASCO).

Standard je bil poslan v glasovanje nacionalnim organom ISO in IEC; obe organizaciji sta ga odobrili.

Ta druga izdaja razveljavlja in nadomešča prvo izdajo (ISO/IEC 17021:2006), ki je revidirana zaradi širitve področja uporabe. Prva izdaja se začasno ohrani za obdobje enega leta do sistematičnega pregleda te druge izdaje.

Objavljena je tudi neuradna izdaja tega mednarodnega standarda z označenimi spremembami glede na prejšnjo izdajo.

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.

SIST EN ISO/IEC 17021:2011

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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.

Uvod

Certificiranje sistema vodenja organizacije, kakršen je npr. sistem vodenja kakovosti ali sistem ravnanja z okoljem, je eden od načinov zagotavljanja, da ima organizacija uveden sistem za vodenje pomembnih vidikov svojih aktivnosti v skladu s svojo politiko.

Ta mednarodni standard opredeljuje zahteve za certifikacijske organe. Z upoštevanjem teh zahtev se zagotavlja, da certifikacijski organi kompetentno, dosledno in nepristransko izvajajo certificiranje sistemov vodenja, s čimer omogočajo priznavanje takih organov in sprejemanje njihovih certifikacij na nacionalni in mednarodni ravni. Ta mednarodni standard je temelj za omogočanje priznavanja certifikacije sistemov vodenja v interesu mednarodne trgovine.

Certifikacija sistema vodenja je neodvisen dokaz, da je sistem vodenja organizacije:

- a) skladen s specificiranimi zahtevami,
- b) sposoben dosledno dosegati politiko in cilje, ki jih navede organizacija, ter
- c) učinkovito izvajan.

Ugotavljanje skladnosti, kamor sodi certificiranje sistemov vodenja, s tem zagotavlja vrednost za organizacijo, njene odjemalce in zainteresirane strani.

V točki 4 tega mednarodnega standarda so opisana načela, na katerih temelji verodostojna certifikacija. Ta načela bralcu pomagajo razumeti bistvo certifikacije in so nujen uvod v točke od 5 do 10. Ta načela podpirajo vse zahteve v tem mednarodnem standardu, vendar pa tako načela sama po sebi niso zahteve, ki bi jih bilo mogoče presojati. V točki 10 sta opisana dva alternativna načina podpiranja in dokazovanja stalnega doseganja zahtev iz tega mednarodnega standarda s tem, ko certifikacijski organ vzpostavi sistem vodenja.

Ta mednarodni standard je namenjen za uporabo organom, ki izvajajo presojo in certificiranje sistemov vodenja. Podaja splošne zahteve za certifikacijske organe, ki izvajajo presojo in certificiranje sistemov vodenja kakovosti, ravnanja z okoljem ter drugih oblik sistemov vodenja. Taki organi se imenujejo certifikacijski organi. To poimenovanje pa naj ne bo ovira za drugače

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

imenovane organe, ki izvajajo aktivnosti s področja uporabe tega dokumenta, da bi uporabljali ta mednarodni standard.

Aktivnosti certificiranja vključujejo presojo sistema vodenja organizacije. Oblika potrditve skladnosti sistema vodenja organizacije s specifičnim standardom za sisteme vodenja ali z drugimi normativnimi zahtevami je praviloma certifikacijski dokument oziroma certifikat.

V tej izdaji mednarodnega standarda je vključeno besedilo standarda ISO/IEC 17021:2006, vključno z dopolnitvami za brisanje ustreznih sklicev na ISO 19011, ter z novim besedilom z dodanimi posebnimi zahtevami za certifikacijsko presojanje, ki ga izvajajo tretje stranke, in vodenje kompetentnosti osebja, vključenega v certificiranje.

Prepoznane so posebne potrebe trga kot posledica pomanjkanja specifičnih in priznanih zahtev za presojevalce iz vrst tretjih strank, ki presoajo sisteme vodenja, kot so sistemi vodenja kakovosti, sistemi ravnanja z okoljem ali sistemi vodenja varnosti živil. Pomanjkanje zahtev za kompetentnost presojevalcev in način, kako so ti presojevalci vodeni in razporejeni, so kot pomanjkljivost označile ključne zainteresirane strani, vključno [ISO/IEC 17021-2011](http://standards.iteh.ai/catalog/standards/p17021-2011).

V tem mednarodnem standardu je podan skupek zahtev za splošno presojanje sistemov vodenja, namenjeno zagotavljanju zanesljivega ugotavljanja skladnosti z veljavnimi zahtevami za certificiranje, ki ga izvaja kompetentna presojevalska skupina z ustreznimi viri in po usklajenem procesu ter z usklajenim poročanjem o rezultatih.

Ta mednarodni standard se lahko uporablja za presojo in certificiranje vseh vrst sistemov vodenja. Nekatere od zahtev, zlasti tiste, ki se nanašajo na kompetentnost presojevalcev, se lahko dopolnijo z dodatnimi kriteriji, da bi se tako izpolnila pričakovanja zainteresiranih strani.

V tem mednarodnem standardu besedica "mora" ("shall") označuje zahtevo in besedica "naj" ("should") priporočilo.

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.

Ugotavljanje skladnosti – Zahteve za organe, ki presojajo in certificirajo sisteme vodenja

1 Področje uporabe

Ta mednarodni standard vsebuje načela in zahteve za kompetentnost, doslednost in nepristransko presojanja in certificiranja vseh vrst sistemov vodenja (npr. sistemov vodenja kakovosti ali sistemov ravnanja z okoljem) ter za organe, ki te aktivnosti izvajajo. Certifikacijski organi, ki delujejo po tem mednarodnem standardu, ne nudijo nujno certifikacije vseh vrst sistemov vodenja.

Certificiranje sistemov vodenja (v tem mednarodnem standardu poimenovano "certifikacija") je aktivnost ugotavljanja skladnosti, ki jo opravljajo tretje stranke (glej ISO/IEC 17000:2004, točko 5.5). Organi, ki to aktivnost izvajajo, so torej organi za ugotavljanje skladnosti kot tretja stranka (v tem mednarodnem standardu poimenovano "certifikacijski organ/organii").

- OPOMBA 1: Certifikacija sistema vodenja se včasih imenuje tudi "registracija", certifikacijski organi pa se včasih imenujejo "registratorji".
- OPOMBA 2: Certifikacijski organ je lahko nevladni ali vladni (z regulativnimi pooblastili ali brez njih).
- OPOMBA 3: Ta mednarodni standard se lahko uporabi kot dokument s kriteriji za akreditacijo ali medsebojno ocenjevanje ali za druge procese presoje.

2 Zveza s standardi

Za uporabo tega standarda so nujno potrebni spodaj navedeni dokumenti. Pri datiranem sklicevanju velja samo navedena izdaja. Pri nedatiranem sklicevanju se uporablja najnovejša izdaja dokumenta (vključno z morebitnimi spremembami).

ISO 9000:2005, *Sistemi vodenja kakovosti – Osnove in slovar*

ISO/IEC 17000:2004, *Ugotavljanje skladnosti – Slovar in splošna načela*

3 Izrazi in definicije

V tem dokumentu se uporabljajo izrazi in definicije iz standardov ISO 9000, ISO/IEC 17000 ter naslednji izrazi in definicije:

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").

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

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**certificirana stranka**

organizacija, katere sistem vodenja je certificiran

3.2**nepritranskost**

dejanska in zaznana prisotnost objektivnosti

OPOMBA 1: Objektivnost pomeni, da nasprotja interesov ne obstajajo ali da so rešena tako, da ne vplivajo negativno na poznejše aktivnosti certifikacijskega organa.

OPOMBA 2: Drugi uporabni izrazi pri podajanju elementa nepritranskosti so: objektivnost, neodvisnost, odsotnost nasprotja interesov, odsotnost pristransnosti, odsotnost predsodkov, nevtralnost, poštenost, odprtost duha, enakopravno obravnavanje, neopredeljenost, uravnoveženost.

3.3**svetovanje za sistem vodenja**

sodelovanje pri snovanju, izvajanju ali vzdrževanju sistema vodenja

PRIMERI:

- a) priprava ali izdelava poslovnikov ali postopkov in
- b) dajanje specifičnih nasvetov, navodil ali rešitev za razvoj in izvajanje sistema vodenja.

OPOMBA:

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[SIST EN ISO/IEC 17021:2011](https://standards.itech.ai/catalog/standards/sist/812b4880-6117-4ca1-a7a-0776d3444444)

<https://standards.itech.ai/catalog/standards/sist/812b4880-6117-4ca1-a7a-0776d3444444>

Organizacija usposabljanja in sodelovanje v vlogi predavatelja se ne steje kot svetovanje, pod pogojem, da se tečaj nanaša na sisteme vodenja ali presojanje ter je omejen na dajanje splošnih informacij, ki so prosti dostopni v javni rabi, tj. predavatelj naj ne daje specifičnih rešitev za podjetje.

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.

NOTE 2 Other terms that are useful in conveying the element of impartiality are: objectivity, independence, freedom from conflict of interests, freedom from bias, lack of prejudice, neutrality, fairness, open-mindedness, even-handedness, detachment, balance.

3.3**management system consultancy**

participation in designing, implementing or maintaining a management system

EXAMPLES

- a) preparing or producing manuals or procedures, and
- b) giving specific advice, instructions or solutions towards the development and implementation of a management system.

NOTE

Arranging training and participating as a trainer is not considered consultancy, provided that, where the course relates to management systems or auditing, it is confined to the provision of generic information that is freely available in the public domain; i.e. the trainer should not provide company-specific solutions.

3.4**certifikacijska presoja, ki jo izvede tretja stranka**

presoja, ki jo izvede od stranke in uporabnika neodvisna presojevalna organizacija za namene certificiranja sistema vodenja stranke

OPOMBA 1: V definicijah, ki sledijo, je zaradi enostavnejšega sklicevanja na certifikacijsko presojo, ki jo izvede tretja stranka, uporabljen izraz "presoja".

OPOMBA 2: Certifikacijske presoje, ki jih izvedejo tretje stranke, vključujejo začetne, redne in obnovitvene certifikacijske presoje, lahko pa vključujejo tudi posebne presoje.

OPOMBA 3: Certifikacijske presoje, ki jih izvedejo tretje stranke, praviloma izvajajo presojevalske skupine tistih organov, ki izvajajo certifikacijo skladnosti z zahtevami standardov za sisteme vodenja.

3.4**third-party certification audit**

audit carried out by an auditing organization independent of the client and the user, for the purpose of certifying the client's management system

NOTE 1 In the definitions which follow, the term "audit" has been used for simplicity to refer to third-party certification audit.

NOTE 2 Third-party certification audits include initial, surveillance, re-certification audits, and can also include special audits.

NOTE 3 Third-party certification audits are typically conducted by audit teams of those bodies providing certification of conformity to the requirements of management system standards.

- OPOMBA 4: Skupna presoja je, kadar pri presoji ene same stranke sodelujeta dve ali več presojevalskih organizacij.
- OPOMBA 5: Kombinirana presoja je, kadar se stranka presoja po zahtevah dveh ali več standardov za sisteme vodenja skupaj.
- OPOMBA 6: Integrirana presoja je, kadar je stranka v enem samem sistemu vodenja združila uporabo zahtev dveh ali več standardov za sisteme vodenja in se presoja po več standardih.

- NOTE 4 A joint audit is when two or more auditing organizations cooperate to audit a single client.
- NOTE 5 A combined audit is when a client is being audited against the requirements of two or more management systems standards together.
- NOTE 6 An integrated audit is when a client has integrated the application of requirements of two or more management systems standards into a single management system and is being audited against more than one standard.

3.5 stranka
organizacija, katere sistem vodenja se presoja z namenom certifikacije

3.5 client
organization whose management system is being audited for certification purposes

3.6 presojevalec
oseba, ki izvaja presojo

3.6 auditor
person who conducts an audit

3.7 kompetentnost
sposobnost uporabe znanja in veščin za doseganje želenih rezultatov

3.7 competence
ability to apply knowledge and skills to achieve intended results

3.8 vodnik
oseba, ki jo stranka imenuje za pomoč presojevalski skupini

<https://standards.iteh.ai/catalog/standards/sist/812b4880-c217-4e41-a7fa-197d6adfc1346/sist-en-iso-17021-2011>

3.9 opazovalec
oseba, ki spremlja presojevalsko skupino, a ne presoja

3.9 observer
person who accompanies the audit team but does not audit

3.10 strokovno področje
področje, ki ga označujejo skupne značilnosti procesov, pomembnih za določeno vrsto sistema vodenja

3.10 technical area
area characterized by commonalities of processes relevant to a specific type of management system

4 Načela

4.1 Splošno

4.1.1 Ta načela so podlaga za nadaljnje specifične zahteve delovanja in opisne zahteve, podane v tem mednarodnem standardu. Ta mednarodni standard ne podaja specifičnih zahtev za vse situacije, ki lahko nastanejo. Ta načela naj se uporabljajo kot napotki za odločitve, ki jih bo morda treba sprejeti ob nastanku nepričakovanih situacij. Načela niso zahteve.

4.1.2 Splošni cilj certifikacije je vsem stranem vzbuditi zaupanje, da sistem vodenja izpolnjuje

4 Principles

4.1 General

4.1.1 These principles are the basis for the subsequent specific performance and descriptive requirements in this International Standard. This International Standard does not give specific requirements for all situations that can occur. These principles should be applied as guidance for the decisions that may need to be made for unanticipated situations. Principles are not requirements.

4.1.2 The overall aim of certification is to give confidence to all parties that a management

specificirane zahteve. Vrednost certifikacije je v stopnji javnega zaupanja, ki se vzpostavi z nepristranskim in kompetentnim ocenjevanjem tretje stranke. Strani, ki so zainteresirane za certifikacijo, so med drugim:

- a) stranke certifikacijskih organov,
- b) odjemalci organizacij, katerih sistemi vodenja so certificirani,
- c) državni organi,
- d) nevladne organizacije in
- e) potrošniki ter drugi predstavniki javnosti.

4.1.3 Načela za vzbujanje zaupanja vključujejo:

- nepristrankost,
- kompetentnost,
- odgovornost,
- odprtost,
- zaupnost in
- odzivnost na pritožbe.

4.2 Nepristrankost

4.2.1 Da bi certifikacijski organ lahko izvedel zaupanja vredno certifikacijo, mora biti nepristranski in mora tudi veljati za <https://standards.iteh.ai/catalog/standards/sist-en-iso/17021-2011/197d6adfc1346/sist-en-iso-ic-17021-2011>

4.2.2 Ve se, da je plačilo stranke za certifikacijo vir dohodka certifikacijskega organa in da to lahko ogrozi nepristrankost.

4.2.3 Če hoče certifikacijski organ pridobiti in vzdrževati zaupanje, je bistvenega pomena, da njegove odločitve temeljijo na objektivnih dokazih o skladnosti (ali neskladnosti), ki jih certifikacijski organ pridobi, ter da na njegove odločitve ne vplivajo drugi interesi ali druge strani.

4.2.4 H grožnjam za nepristrankost se prištevajo:

- a) lastni interesi: grožnje, ki nastanejo, kadar neka oseba ali organ deluje v lastnem interesu. V zvezi s certificiranjem predstavlja grožnjo za nepristrankost lastni finančni interes.
- b) Samopregled: grožnje, ki nastanejo, kadar neka oseba ali organ pregleduje lastno delo. Grožnja samokritike bi nastopila, če bi certifikacijski organ presojal sisteme

system fulfils specified requirements. The value of certification is the degree of public confidence and trust that is established by an impartial and competent assessment by a third-party. Parties that have an interest in certification include, but are not limited to

- a) the clients of the certification bodies,
- b) the customers of the organizations whose management systems are certified,
- c) governmental authorities,
- d) non-governmental organizations, and
- e) consumers and other members of the public.

4.1.3 Principles for inspiring confidence include

- impartiality,
- competence,
- responsibility,
- openness,
- confidentiality, and
- responsiveness to complaints.

4.2 Impartiality

4.2.1 Being impartial, and being perceived to be impartial, is necessary for a certification body to deliver certification that provides confidence.

4.2.2 It is recognized that the source of revenue for a certification body is its client paying for certification, and that this is a potential threat to impartiality.

4.2.3 To obtain and maintain confidence, it is essential that a certification body's decisions be based on objective evidence of conformity (or nonconformity) obtained by the certification body, and that its decisions are not influenced by other interests or by other parties.

4.2.4 Threats to impartiality include the following.

- a) Self-interest threats: threats that arise from a person or body acting in their own interest. A concern related to certification, as a threat to impartiality, is financial self-interest.
- b) Self-review threats: threats that arise from a person or body reviewing the work done by themselves. Auditing the management systems of a client to whom the

vodenja stranke, ki ji je sam nudil svetovanje za sisteme vodenja.

- c) Domačnost (ali zaupljivost): grožnje, ki nastanejo, kadar je neka oseba ali organ preveč domač ali zaupljiv do druge osebe, namesto da bi s presojo iskal dokaze.
- d) Ustrahovanje: grožnje, ki nastanejo, kadar ima neka oseba ali organ občutek, da mu odkrito ali naskrivaj grozijo, na primer, da ga bodo zamenjali ali zatožili nadzorniku.

4.3 Kompetentnost

Za izvedbo certifikacije, ki vzbuja zaupanje, je potrebna kompetentnost osebja, ki je podprta s sistemom vodenja certifikacijskega organa.

4.4 Odgovornost

4.4.1 Za skladnost z zahtevami za certifikacijo je odgovorna stranka, ne certifikacijski organ.

4.4.2 Odgovornost certifikacijskega organa je, da oceni zadostne objektivne dokaze, na katerih utemeljuje odločitev o certifikaciji. Na podlagi sklepov presoje se odloči, da podeli certifikat, če je dovolji dokazov o skladnosti, oziroma da certifikata ne podeli, če ni dovolji dokazov o skladnosti.

OPOMBA: Vsaka presoja temelji na vzorčenju znotraj sistema vodenja organizacije, zato ni stodostotnega zagotovila skladnosti z zahtevami.

4.5 Odprtost

4.5.1 Certifikacijski organ mora javnosti omogočati razkritje ali dostop do ustreznih in pravočasnih informacij o svojih procesih presojanja in certificiranja ter o stanju certifikacije (tj. podelitvi, širitvi obsega, vzdrževanju, obnovitvi, začasnem odvzem, krčenju obsega ali preklicu certifikata) vsake organizacije, da bi pridobil zaupanje v celovitost in verodostojnost certifikacije. Odprtost je načelo razkritja oziroma dostopa do ustreznih podatkov.

4.5.2 Da bi certifikacijski organ pridobil ali vzdrževal zaupanje v certifikacijo, naj specifičnim zainteresiranim stranem zagotavlja ustrezen razkritje ali dostop do nezaupnih podatkov o sklepih specifičnih presoj (npr. presoj v odzivu na pritožbe).

certification body provided management systems consultancy would be a self-review threat.

- c) Familiarity (or trust) threats: threats that arise from a person or body being too familiar with or trusting of another person instead of seeking audit evidence.
- d) Intimidation threats: threats that arise from a person or body having a perception of being coerced openly or secretly, such as a threat to be replaced or reported to a supervisor.

4.3 Competence

Competence of the personnel supported by the management system of the certification body is necessary to deliver certification that provides confidence.

4.4 Responsibility

4.4.1 The client organization, not the certification body, has the responsibility for conformity with the requirements for certification.

4.4.2 The certification body has the responsibility to assess sufficient objective evidence upon which to base a certification decision. Based on audit conclusions, it makes a decision to grant certification if there is sufficient evidence of conformity, or not to grant certification if there is not sufficient evidence of conformity.

NOTE Any audit is based on sampling within an organization's management system and therefore is not a guarantee of 100 % conformity with requirements.

4.5 Openness

4.5.1 A certification body needs to provide public access to, or disclosure of, appropriate and timely information about its audit process and certification process, and about the certification status (i.e. the granting, extending, maintaining, renewing, suspending, reducing the scope of, or withdrawing of certification) of any organization, in order to gain confidence in the integrity and credibility of certification. Openness is a principle of access to, or disclosure of, appropriate information.

4.5.2 To gain or maintain confidence in certification, a certification body should provide appropriate access to, or disclosure of, non-confidential information about the conclusions of specific audits (e.g. audits in response to complaints) to specific interested parties.

4.6 Zaupnost

Da bi certifikacijski organ ustrezno pridobil prednostni dostop do podatkov, ki jih potrebuje za ugotavljanje skladnosti z zahtevami za certifikacijo, je bistvenega pomena, da ohrani zaupnost vsakršnih pravno zaščitenih informacij o stranki.

4.7 Odzivnost na pritožbe

Strani, ki zaupajo v certifikacijo, pričakujejo, da se bodo njihove pritožbe raziskale, in če se bo ugotovilo, da so utemeljene, naj verjamejo, da se bodo pritožbe ustrezno obravnavale in da se bo razumno prizadevalo za njihovo rešitev. Učinkovita odzivnost na pritožbe je pomembno orodje za zaščito certifikacijskega organa, njegovih strank in drugih uporabnikov certifikacije pred napakami, opustitvami ali nerazumnim vedenjem. Če so pritožbe ustrezno obravnavane, se zaščiti zaupanje v aktivnosti certificiranja.

OPOMBA: Da bi vsem uporabnikom certifikacije dokazali celovitost in verodostojnost, je potrebno ustrezno ravnotežje med načeli odprtosti in zaupnosti, vključno z odzivnostjo na pritožbe.

5 Splošne zahteve

5.1 Pravne in pogodbene zadave

<https://standards.iteh.ai/catalog/standards/sist-en-iso-iec-17021-2011>

5.1.1 Pravna odgovornost

Certifikacijski organ mora biti pravna oseba ali določen del pravne osebe, tako da je pravno odgovoren za vse svoje aktivnosti certificiranja. Državni certifikacijski organ se na podlagi svojega vladnega statusa šteje za pravno osebo.

5.1.2 Pogodba o certificiranju

Certifikacijski organ mora imeti pravno izvršljivo pogodbo o zagotavljanju aktivnosti certificiranja svojim strankam. Poleg tega mora certifikacijski organ v primeru, da ima sam več uradov ali njegova stranka več lokacij, zagotoviti, da je sklenjena pravno izvršljiva pogodba med certifikacijskim organom, ki podeljuje in izdaja certifikat, in vsemi lokacijami, zajetimi v obseg certifikacije.

5.1.3 Odgovornost za odločitve o certifikaciji

Certifikacijski organ mora biti odgovoren za svoje odločitve glede certifikacije in ohraniti pristojnosti v zvezi s certifikacijo, vključno s

4.6 Confidentiality

To gain the privileged access to information that is needed for the certification body to assess conformity to requirements for certification adequately, it is essential that a certification body keep confidential any proprietary information about a client.

4.7 Responsiveness to complaints

Parties that rely on certification expect to have complaints investigated and, if these are found to be valid, should have confidence that the complaints will be appropriately addressed and that a reasonable effort will be made to resolve the complaints. Effective responsiveness to complaints is an important means of protection for the certification body, its clients and other users of certification against errors, omissions or unreasonable behaviour. Confidence in certification activities is safeguarded when complaints are processed appropriately.

NOTE An appropriate balance between the principles of openness and confidentiality, including responsiveness to complaints, is necessary in order to demonstrate integrity and credibility to all users of certification.

5 General requirements

5.1 Legal and contractual matters

5.1.1 Legal responsibility

The certification body shall be a legal entity, or a defined part of a legal entity, such that it can be held legally responsible for all its certification activities. A governmental certification body is deemed to be a legal entity on the basis of its governmental status.

5.1.2 Certification agreement

The certification body shall have a legally enforceable agreement for the provision of certification activities to its client. In addition, where there are multiple offices of a certification body or multiple sites of a client, the certification body shall ensure there is a legally enforceable agreement between the certification body granting certification and issuing a certificate, and all the sites covered by the scope of the certification.

5.1.3 Responsibility for certification decisions

The certification body shall be responsible for, and shall retain authority for, its decisions relating to certification, including the granting,