
Ugotavljanje skladnosti – Zahteve za organe, ki presoajo in certificirajo sisteme vodenja – 1. del: Zahteve (ISO/IEC 17021-1:2015)

Conformity assessment – Requirements for bodies providing audit and certification of management systems – Part 1: Requirements (ISO/IEC 17021-1:2015)

Évaluation de la conformité – Exigences pour les organismes procédant à l'audit et à la certification des systèmes de management – Partie 1: Exigences (ISO/IEC 17021-1:2015)

Konformitätsbewertung – Anforderungen an Stellen, die Managementsysteme auditieren und zertifizieren – Teil 1: Anforderungen (ISO/IEC 17021-1:2015)

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Slovenska izdaja

**Ugotavljanje skladnosti – Zahteve za organe, ki presojujejo in certificirajo
sisteme vodenja – 1. del: Zahteve
(ISO/IEC 17021-1:2015)**

Conformity assessment –
Requirements for bodies providing
audit and certification of
management systems – Part 1:
Requirements (ISO/IEC 17021-
1:2015)

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pour les organismes procédant à l'audit
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(ISO/IEC 17021-1:2015)

iTeh STANDARD PREVIEW

Ta evropski standard je CEN sprejel 6. junija 2015
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European Committee for Standardization
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Predgovor k evropskemu standardu

Ta dokument (EN ISO/IEC 17021-1:2015) je pripravil tehnični odbor ISO/CASCO "Odbor za ugotavljanje skladnosti" v sodelovanju s tehničnim odborom CEN-CENELEC/TC 1 "Merila za organe za ugotavljanje skladnosti", katerega sekretariat vodi BSI.

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Razglasitvena objava

Besedilo ISO/IEC 17021-1:2015 je CEN odobril brez sprememb kot EN ISO/IEC 17021-1:2015.

European foreword

This document (EN ISO/IEC 17021-1:2015) has been prepared by Technical Committee ISO/CASCO "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of an identical text or by endorsement, at the latest by January 2016, and conflicting national standards shall be withdrawn at the latest by January 2016.

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Endorsement notice

The text of ISO/IEC 17021-1:2015 has been approved by CEN as EN ISO/IEC 17021-1:2015 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, ki so povezane z ISO in IEC. Na področju ugotavljanja skladnosti ISO in IEC pripravljata skupne dokumente pod vodstvom Odbora ISO/IEC za ugotavljanje skladnosti (ISO/CASCO).

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Za razlago pomena specifičnih izrazov in terminov ISO, povezanih z ugotavljanjem skladnosti, ter informacije o tem, kako ISO spoštuje načela Mednarodne trgovske organizacije (WTO) v Tehničnih ovirah pri trgovanju (TBT), glej naslednji naslov URL: [Foreword – Supplementary information](#).

ISO/IEC 17021-1 je pripravil *Odbor ISO za ugotavljanje skladnosti* (CASCO). Poslan je bil v glasovanje nacionalnim organom ISO in IEC in obe organizaciji sta ga odobrili.

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, ISO and IEC develop joint ISO/IEC documents under the management of the ISO Committee on Conformity assessment (ISO/CASCO).

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular the different approval criteria needed for the different types of document should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

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Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation on the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the WTO principles in the Technical Barriers to Trade (TBT) see the following URL: [Foreword – Supplementary information](#)

ISO/IEC 17021-1 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.

Ta prva izdaja ISO/IEC 17021-1 razveljavlja in nadomešča ISO/IEC 17021:2011, ki je bil strokovno revidiran.

Standard ISO/IEC 17021 s splošnim naslovom *Ugotavljanje skladnosti – Zahteve za organe, ki presojujejo in certificirajo sisteme vodenja*, je sestavljen iz naslednjih delov:

- 1. del: Zahteve
- 2. del: Zahteve glede kompetentnosti za presojanje in certificiranje sistemov ravnanja z okoljem [tehnična specifikacija]
- 3. del: Zahteve glede kompetentnosti za presojanje in certificiranje sistemov vodenja kakovosti [tehnična specifikacija]
- 4. del: Zahteve glede kompetentnosti za presojanje in certificiranje sistemov upravljanja trajnostnih dogodkov [tehnična specifikacija]
- 5. del: Zahteve glede kompetentnosti za presojanje in certificiranje sistemov upravljanja sredstev [tehnična specifikacija]
- 6. del: Zahteve glede kompetentnosti za presojanje in certificiranje sistemov upravljanja neprekinjenega (poslovanja) [tehnična specifikacija]
- 7. del: Zahteve glede kompetentnosti za presojanje in certificiranje sistemov upravljanja varnosti cestnega prometa [tehnična specifikacija]

This first edition of ISO/IEC 17021-1 cancels and replaces ISO/IEC 17021:2011, which has been technically revised.

ISO/IEC 17021 consists of the following parts, under the general title *Conformity assessment – Requirements for bodies providing audit and certification of management systems*:

- Part 1: Requirements
- Part 2: Competence requirements for auditing and certification of environmental management systems [Technical Specification]
- Part 3: Competence requirements for auditing and certification of quality management systems [Technical Specification]
- Part 4: Competence requirements for auditing and certification of event sustainability management systems [Technical Specification]
- Part 5: Competence requirements for auditing and certification of asset management systems [Technical Specification]
- Part 6: Competence requirements for auditing and certification of business continuity management systems [Technical Specification]
- Part 7: Competence requirements for auditing and certification of road traffic safety management systems [Technical Specification]

Uvod

Certificiranje sistemov vodenja, kakršni so npr. sistem ravnanja z okoljem, sistem vodenja kakovosti ali sistem upravljanja informacijske varnosti organizacije, je eden od načinov zagotavljanja, da ima organizacija uveden sistem za vodenje pomembnih vidikov svojih aktivnosti, proizvodov in storitev v skladu s svojo politiko in z ustreznim mednarodnim standardom sistema vodenja.

Ta del standarda ISO/IEC 17021 opredeljuje zahteve za organe, ki presojujejo in certificirajo sisteme vodenja. Podaja splošne zahteve za organe, ki presojujejo in certificirajo sisteme vodenja na področju kakovosti, okolja ter druge vrste sistemov vodenja. Taki organi se imenujejo certifikacijski organi. Z upoštevanjem teh zahtev se zagotavlja, da certifikacijski organi kompetentno, dosledno in nepristransko izvajajo certificiranje sistemov vodenja, s čimer se omogoči priznavanje takih organov in sprejemanje njihovih certifikatov na nacionalni in mednarodni ravni. Ta del ISO/IEC 17021 je temelj za omogočanje priznavanja certifikatov za sisteme 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 navedeno politiko in cilje organizacije;
- c) učinkovito izvajan.

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

V [točki 4](#) so opisana načela, na katerih temelji verodostojna certifikacija. Ta načela uporabniku pomagajo razumeti bistvo certifikacije in so potreben uvod v [točke od 5 do 10](#). Ta načela so podlaga za zahteve iz tega dela ISO/IEC 17021, vendar pa taka načela sama po sebi niso zahteve, ki bi jih bilo mogoče presoјati. V [točki 10](#) sta opisana dva alternativna načina, ki pomagata in prikazujeta, kako stalno dosegati zahteve iz tega dela ISO/IEC 17021 s tem, ko certifikacijski organ vzpostavi sistem vodenja.

Introduction

Certification of a management system, such as the environmental management system, quality management system or information security 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, products and services, in line with the organization's policy and the requirements of the respective international management system standard.

This part of ISO/IEC 17021 specifies requirements for bodies providing audit and certification of management systems. It gives generic requirements for such bodies performing audit and certification in the field of quality, the environment and other types of management systems. Such bodies are referred to as 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 part of ISO/IEC 17021 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;
- c) is effectively implemented.

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

[Clause 4](#) describes the principles on which credible certification is based. These principles help the user to understand the essential nature of certification and they are a necessary prelude to [Clauses 5 to 10](#). These principles underpin the requirements in this part of ISO/IEC 17021, 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 part of ISO/IEC 17021 through the establishment of a management system by the certification body.

Aktivnosti certificiranja so posamezne aktivnosti, ki sestavljajo celoten proces certificiranja, od pregleda vloge do prenehanja veljavnosti certifikacije. V [dodatku E](#) je ponazorjeno, na kakšen način lahko te aktivnosti vplivajo ena na drugo.

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 certifikacijska listina ali certifikat.

Ta del ISO/IEC 17021 se lahko uporablja za presojanje 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 delu ISO/IEC 17021 so uporabljene naslednje glagolske oblike:

- "treba je" ali "mora" ("shall") označuje zahtevo;
- "naj" ("should") označuje priporočilo;
- "sme" ("may") označuje dovoljenje;
- "lahko" ("can") označuje možnost ali sposobnost.

Nadaljnje podrobnosti so v Direktivah ISO/IEC, 2. del.

Certification activities are the individual activities that make up the entire certification process, from application review to termination of certification. [Annex E](#) provides an illustration of the way in which many of these activities can interact.

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 usually a certification document or a certificate.

This part of ISO/IEC 17021 is applicable to the auditing and certification of any type of management system. It is recognized that some of the requirements, 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 part of ISO/IEC 17021, the following verbal forms are used:

- "shall" indicates a requirement;
- "should" indicates a recommendation;
- "may" indicates a permission;
- "can" indicates a possibility or a capability.

Further details can be found in the ISO/IEC Directives, Part 2.

Ugotavljanje skladnosti – Zahteve za organe, ki presojujejo in certificirajo sisteme vodenja – 1. del: Zahteve

1 Področje uporabe

Ta del standarda ISO/IEC 17021 vsebuje načela in zahteve za kompetentnost, doslednost in nepristranskost organov, ki presojujejo in certificirajo vse vrste sistemov vodenja.

Certifikacijskim organom, ki delujejo v skladu s tem delom ISO/IEC 17021, ni treba nuditi certifikacije vseh vrst sistemov vodenja.

Certificiranje sistemov vodenja je aktivnost ugotavljanja skladnosti, ki jo izvajajo tretje stranke (glej ISO/IEC 17000:2004, točka 5.5); organi, ki to aktivnost izvajajo, so torej organi za ugotavljanje skladnosti kot tretja stranka.

OPOMBA 1: Primeri sistemov vodenja vključujejo sisteme ravnanja z okoljem, sisteme vodenja kakovosti in sisteme za upravljanje informacijske varnosti.

OPOMBA 2: V tem delu ISO/IEC 17021 se certificiranje sistemov vodenja imenuje "certifikacija", organe ugotavljanja skladnosti kot tretjo stranko pa "certifikacijski organi".

OPOMBA 3: Certifikacijski organ je lahko nevladni ali vladni, z regulativnimi pooblastili ali brez njih.

OPOMBA 4: Ta del ISO/IEC 17021 se lahko uporabi kot dokument s kriteriji za akreditacijo ali medsebojno ocenjevanje ali za druge procese presoje.

2 Zveze s standardi

Ta dokument se v celoti ali delno sklicuje na naslednje normativne dokumente, ki so nujno potrebni za njegovo uporabo. Pri datiranem sklicevanju velja samo navedena izdaja. Pri nedatiranem sklicevanju se uporablja najnovejša izdaja dokumenta (vključno z morebitnimi dopolnili).

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

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

Conformity assessment – Requirements for bodies providing audit and certification of management systems – Part 1: Requirements

1 Scope

This part of ISO/IEC 17021 contains principles and requirements for the competence, consistency and impartiality of bodies providing audit and certification of all types of management systems.

Certification bodies operating to this part of ISO/IEC 17021 do not need to offer all types of management system certification.

Certification of management systems is a third-party conformity assessment activity (see ISO/IEC 17000:2004, 5.5) and bodies performing this activity are therefore third-party conformity assessment bodies.

NOTE 1 Examples of management systems include environmental management systems, quality management systems and information security management systems.

NOTE 2 In this part of ISO/IEC 17021, certification of management systems is referred to as "certification" and third-party conformity assessment bodies are referred to as "certification bodies".

NOTE 3 A certification body can be non-governmental or governmental, with or without regulatory authority.

NOTE 4 This part of ISO/IEC 17021 can be used as a criteria document for accreditation, peer assessment or other audit processes.

2 Normative references

The following documents, in whole or in part, are normatively referenced in this document and are indispensable for its application. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO 9000, *Quality management systems – Fundamentals and vocabulary*

ISO/IEC 17000, *Conformity assessment – Vocabulary and general principles*

3 Izrazi in definicije

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

3.1

certificirana stranka

organizacija, katere sistem vodenja je certificiran

3.2

nepriustranskost

prisotnost objektivnosti

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

Opomba 2 k izrazu: Drugi uporabni izrazi pri podajanju elementa nepriustranskosti so: "neodvisnost", "odsotnost nasprotja interesov", "odsotnost pristranskosti", "odsotnost predsodkov", "nevtiralnost", "poštenost", "odprtost duha", "enakopravno obravnavanje", "neopredeljenost", "uravnoteženost".

3.3

svetovanje za sistem vodenja

sodelovanje pri vzpostavljanju, izvajanju ali vzdrževanju sistema vodenja

1. PRIMER: Priprava ali izdelava poslovnikov ali postopkov.

2. PRIMER: Dajanje specifičnih nasvetov, navodil ali rešitev za razvoj in izvajanje sistema vodenja

Opomba 1 k izrazu: Organiziranje usposabljanja in sodelovanje v vlogi predavatelja se ne šteje za svetovanje, če je v primeru, ko se tečaj nanaša na sisteme vodenja ali presojanje, svetovanje omejeno na dajanje splošnih informacij, tj. predavatelj naj ne daje specifičnih rešitev za stranko.

Opomba 2 k izrazu: Dajanje splošnih informacij, ne pa tudi specifičnih rešitev za izboljšanje procesov ali sistemov stranke, se ne šteje za svetovanje. Take informacije lahko vključujejo:

- razlaganje pomena in namena kriterijev certificiranja;
- prepoznavanje priložnosti za izboljšanje;
- razlaganje pripadajočih teorij, metodologij, tehnik ali orodij;
- izmenjavo informacij o najboljših praksah v tej zvezi, ki niso zaupne narave;
- druge vidike vodenja, ki jih presojsani sistem vodenja ne zajema.

3.4

certifikacijska presoja

presoja, ki jo izvede presojevalska organizacija, neodvisna od stranke in od strani, vključenih v certificiranje, za namen certificiranja sistema vodenja stranke

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

presence of objectivity

Note 1 to entry: 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 to entry: Other terms that are useful in conveying the element of impartiality include "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 establishing, implementing or maintaining a management system

EXAMPLE 1: Preparing or producing manuals or procedures.

EXAMPLE 2: Giving specific advice, instructions or solutions towards the development and implementation of a management system.

Note 1 to entry: 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; i.e. the trainer should not provide client-specific solutions.

Note 2 to entry: The provision of generic information, but not client specific solutions for the improvement of processes or systems, is not considered to be consultancy. Such information may include:

- explaining the meaning and intention of certification criteria;
- identifying improvement opportunities;
- explaining associated theories, methodologies, techniques or tools;
- sharing non-confidential information on related best practices;
- other management aspects that are not covered by the management system being audited.

3.4

certification audit

audit carried out by an auditing organization independent of the client and the parties that rely on certification, for the purpose of certifying the client's management system

Opomba 1 k izrazu: V definicijah, ki sledijo, je zaradi enostavnejšega sklicevanja na certifikacijsko presojo, ki jo izvaja tretja stranka, uporabljen izraz "presoja".

Opomba 2 k izrazu: Certifikacijske presoje vključujejo začetne, redne in obnovitvene presoje, lahko pa vključujejo tudi posebne presoje.

Opomba 3 k izrazu: Certifikacijske presoje praviloma izvajajo presojevalske skupine tistih organov, ki izvajajo certifikacijo skladnosti z zahtevami standardov za sistem vodenja.

Opomba 4 k izrazu: Skupna presoja je, kadar pri presoji ene same stranke sodelujeta dve ali več presojevalskih organizacij.

Opomba 5 k izrazu: Kombinirana presoja je, kadar se stranka presoja po zahtevah dveh ali več standardov za sisteme vodenja skupaj.

Opomba 6 k izrazu: 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.

3.5

stranka

organizacija, katere sistem vodenja se presoja z namenom pridobitve certifikacije

3.6

presojevalec

oseba, ki izvaja presojo

3.7

kompetentnost

zmožnost uporabe znanja in veščin za doseg predvidenih rezultatov

3.8

vodnik

oseba, ki jo stranka imenuje za pomoč presojevalski skupini

3.9

opazovalec

oseba, ki spremlja presojevalsko skupino, a ne presoja

3.10

strokovno področje

področje, ki ga označujejo skupne značilnosti procesov, pomembnih za določeno vrsto sistema vodenja in njegove predvidene rezultate

Opomba 1 k izrazu: Glej opombo k točki [7.1.2](#).

3.11

neskladnost

neizpolnjevanje zahteve

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

Note 2 to entry: Certification audits include initial, surveillance, re-certification audits, and can also include special audits.

Note 3 to entry: Certification audits are typically conducted by audit teams of those bodies providing certification of conformity to the requirements of management system standards.

Note 4 to entry: A joint audit is when two or more auditing organizations cooperate to audit a single client.

Note 5 to entry: A combined audit is when a client is being audited against the requirements of two or more management systems standards together.

Note 6 to entry: 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

client

organization whose management system is being audited for certification purposes

3.6

auditor

person who conducts an audit

3.7

competence

ability to apply knowledge and skills to achieve intended results

3.8

guide

person appointed by the client to assist the audit team

3.9

observer

person who accompanies the audit team but does not audit

3.10

technical area

area characterized by commonalities of processes relevant to a specific type of management system and its intended results

Note 1 to entry: See Note to [7.1.2](#).

3.11

nonconformity

non-fulfilment of a requirement