SLOVENSKI STANDARD
SIST EN ISO/IEC 17021-1:2015

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Nadomešča:
SIST EN ISO/IEC 17021:2011

Ugotavljanje skladnosti - Zahteve za organe, ki presojajo 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)

Konformitätsbewertung - Anforderungen an Stellen, die Managementsysteme auditieren und zertifizieren - Teil 1: Anforderungen (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)

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

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EUROPEAN STANDARD

NORME EUROPÉENNE

EUROPÄISCHE NORM

EN ISO/IEC 17021-1

July 2015

ICS 03.120.20

Supersedes EN ISO/IEC 17021:2011

English Version

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)

This European Standard was approved by CEN on 6 June 2015.

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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.

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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.

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 17021:2011.

This document has been prepared under a mandate given to CEN by the European Commission and the European Free Trade Association.

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, Former Yugoslav Republic of Macedonia, France, Germany, Greece, Hungary, Iceland, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Norway, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, Switzerland, Turkey and the United Kingdom.

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.

INTERNATIONAL STANDARD

ISO/IEC 17021-1

First edition
2015-06-15

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

Part 1: Requirements

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

Partie 1: Exigences

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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, 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).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO and IEC shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see www.iso.org/patents).

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.

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]

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.

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.

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 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

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

3.12
major nonconformity
nonconformity (3.11) that affects the capability of the management system to achieve the intended results

Note 1 to entry: Nonconformities could be classified as major in the following circumstances:

— if there is a significant doubt that effective process control is in place, or that products or services will meet specified requirements;

— a number of minor nonconformities associated with the same requirement or issue could demonstrate a systemic failure and thus constitute a major nonconformity.

3.13
minor nonconformity
nonconformity (3.11) that does not affect the capability of the management system to achieve the intended results

3.14
technical expert
person who provides specific knowledge or expertise to the audit team

Note 1 to entry: Specific knowledge or expertise is that which relates to the organization, the process or activity to be audited.

3.15
certification scheme
conformity assessment system related to management systems to which the same specified requirements, specific rules and procedures apply

3.16
audit time
time needed to plan and accomplish a complete and effective audit of the client organization's management system

3.17
duration of management system certification audits
part of *audit time* (3.16) spent conducting audit activities from the opening meeting to the closing meeting, inclusive

Note 1 to entry: Audit activities normally include:

— conducting the opening meeting;

— performing document review while conducting the audit;