

~~ISO-DTS2/PRF TS 21030:YYYY(E)~~

~~CASCO~~ISO/TC 232

~~JWG 58~~ Secretariat: ~~ISO/CS SAC~~

Date: 2023-08-15

Educational organizations — Requirements for bodies providing audit and certification of educational ~~organizations~~ organizations' management systems

iTeh STANDARD PREVIEW
(standards.iteh.ai)

ISO/PRF TS 21030

<https://standards.iteh.ai/catalog/standards/sist/b4c8182a-aac2-4514-a31b-104a5377648e/iso-prf-ts-21030>

DTS Organismes d'éducation/formation — Exigences pour les organismes procédant à l'audit et à la certification des systèmes de management des organismes d'éducation/formation

FDIS stage

Warning for WDs and CDs

This document is not an ISO International Standard. It is distributed for review and comment. It is subject to change without notice and may not be referred to as an International Standard.

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

iTeh STANDARD PREVIEW
(standards.iteh.ai)

ISO/PRF TS 21030

<https://standards.iteh.ai/catalog/standards/sist/b4c8182a-aac2-4514-a31b-104a5377648e/iso-prf-ts-21030>

iTeh STANDARD PREVIEW (standards.iteh.ai)

ISO/PRF TS 21030

<https://standards.iteh.ai/catalog/standards/sist/b4c8182a-aac2-4514-a31b-104a5377648e/iso-prf-ts-21030>

© ISO 2023

All rights reserved. Unless otherwise specified, or required in the context of its implementation, no part of this publication may be reproduced or utilized otherwise in any form or by any means, electronic or mechanical, including photocopying, or posting on the internet or an intranet, without prior written permission. Permission can be requested from either ISO at the address below or ISO's member body in the country of the requester.

ISO copyright office
CP 401 • Ch. de Blandonnet 8
CH-1214 Vernier, Geneva
Phone: + 41 22 749 01 11

Fax: +41 22 749 09 47

Email: copyright@iso.org
Website: www.iso.org

Published in Switzerland

iTeh STANDARD PREVIEW (standards.iteh.ai)

ISO/PRF TS 21030

<https://standards.iteh.ai/catalog/standards/sist/b4c8182a-aac2-4514-a31b-104a5377648e/iso-prf-ts-21030>

Contents

Foreword	vii
Introduction.....	viii
1 Scope	1
2 Normative references.....	1
3 Terms and definitions	2
4 Principles.....	7
5 General requirements	7
5.1 Legal and contractual matters	7
5.2 Management of impartiality.....	7
5.3 Liability and financing.....	7
6 Structural requirements	7
7 Resource requirements	7
7.1 Competence of personnel.....	7
7.1.1 General considerations.....	7
7.1.2 Determination of competence riterio	8
7.1.3 Evaluation processes	8
7.1.4 Other considerations	8
7.2 Personnel involved in the certification activities	8
7.3 Use of individual external auditors and external technical experts	8
7.4 Personnel records.....	8
7.5 Outsourcing.....	8
8 Information requirements	9
8.1 Public information.....	9
8.2 Certification documents.....	9
8.3 Reference to certification and use of marks	9
8.4 Confidentiality.....	9
8.5 Information exchange between a certification body and its clients	9
9 Process requirements	9
9.1 Pre-certification activities	9
9.1.1 General.....	9
9.1.2 Application.....	9
9.1.3 Application review.....	10
9.1.4 Audit programme.....	10
9.1.5 Determining audit time	10
9.1.6 Multi-site sampling.....	10
9.1.7 Multiple management system standards	11
9.2 Planning audits	11
9.3 Initial certification	12

ISO/PRF TS 21030:(E)

9.4	Conducting audits	13
9.5	Certification decision.....	13
9.6	Maintaining certification.....	13
9.7	Appeals.....	13
9.8	Complaints.....	13
9.9	Records of applicants and clients.....	14
10	Management system requirements for certification bodies	14
Annex A (normative)	Determination of audit time.....	15
Annex B (normative)	Specific knowledge and skills for certification functions in EOMS.....	19
Bibliography	24

iTeh STANDARD PREVIEW (standards.iteh.ai)

ISO/PRF TS 21030

<https://standards.iteh.ai/catalog/standards/sist/b4c8182a-aac2-4514-a31b-104a5377648e/iso-prf-ts-21030>

Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

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 ISO ~~documents~~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~~ISO draws attention to the possibility that ~~some of the elements~~implementation of this document may ~~be involve~~ the ~~subject~~use of (a) patent(s). ISO takes no position concerning the evidence, validity or applicability of any claimed patent rights in respect thereof. As of the date of publication of this document, ISO had not received notice of (a) patent(s) which may be required to implement this document. However, implementers are cautioned that this may not represent the latest information, which may be obtained from the patent database available at www.iso.org/patents. ISO 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).~~

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

For an explanation of the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT), see www.iso.org/iso/foreword.html.

This document was prepared by Technical Committee ISO/TC 232 ~~Management Systems for Educational Organization~~, *Education and learning services*, in collaboration with ~~the~~ ISO Committee on Conformity Assessment (CASCO).

~~A list of all parts in the ISO 21001 series can be found on the ISO website.~~

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at www.iso.org/members.html.

Introduction

Certification of ~~Educational Organization Management Systems~~ the educational organization management systems (EOMS) of an organization is one means of providing assurance that the organization has implemented a system for the management of its educational services in line with its policy.

Requirements for an EOMS can originate from a number of sources. This ~~Technical Specification document~~ has been developed to assist in the certification of EOMS that fulfil the requirements of ISO 21001. The contents of this ~~Technical Specification document~~ can also be used to support certification of EOMS that are based on other sets of specified EOMS requirements.

This ~~Technical Specification document~~ is intended for use by bodies that carry out audit and certification of EOMS by providing generic requirements for such bodies. Such bodies are referred to as certification bodies. This wording is not intended to be an obstacle to the use of this ~~Technical Specification document~~ by bodies with other designations that undertake activities covered by the scope of this ~~Technical Specification document~~. This ~~Technical Specification document~~ is intended to be used by anybody involved in the audit of EOMS. It can also be used to support other types of ~~Educational Organization~~ educational organization certifications based on a combination of ISO/IEC 17021-1, ISO/IEC 17024 and ISO/IEC 17065.

Certification activities involve the audit of an organization's EOMS. The form of attestation of conformity of an organization's EOMS to a specific EOMS standard (e.g. ISO 21001) or other specified requirements is normally a certification document or a certificate.

It is for the organization being certified to develop its own management systems (e.g. EOMS in accordance with ISO 21001, other sets of specified EOMS requirements, quality management systems, environmental management systems or occupational health and safety management systems) and, other than where relevant legislative requirements specify to the contrary, it is for the organization to decide how the various components of these will be arranged. The degree of integration between the various management system components will vary from organization to organization. It is, therefore, appropriate for certification bodies that operate in accordance with this ~~Technical Specification document~~ to consider the culture and practices of their clients with respect to the integration of their EOMS in the organization.

Educational organizations — Requirements for bodies providing audit and certification of educational organizations' management systems

1 Scope

This ~~Technical Specification document~~ defines the rules applicable ~~for~~to the audit and ~~Certification~~certification of ~~Educational Organization Management Systems~~educational organization management systems (EOMS) ~~complying with~~conforming to the requirements given in ISO 21001 (or other sets of specified EOMS requirements). It also provides the necessary information and confidence to customers about the way certification of their suppliers has been granted.

Certification of EOMS is a third-party conformity assessment activity (as described in ISO/IEC 17000:2020, 4.5), and bodies performing this activity are third-party conformity assessment bodies.

NOTE 1 This ~~Technical Specification document~~ can be used as a criteria document for the accreditation or peer assessment of certification bodies which seek to be recognized as being competent to certify that an EOMS ~~complies with~~conforms to ISO 21001. It is also intended to be used as a criteria document by regulatory authorities and industry consortia which engage in direct recognition of certification bodies to certify that an EOMS ~~complies with~~conforms to ISO 21001. Some of its requirements could also be useful to other parties involved in the conformity assessment of such certification bodies, and in the conformity assessment of bodies that undertake to certify the compliance of EOMS with criteria additional to, or other than, those in ISO 21001.

NOTE 2 Certification of an EOMS according to ISO 21001 is a management system certification, not a product certification.

NOTE 3 ISO 21001 is a standalone management system standard, not a sector application of ISO 9001.

The concepts and requirements of this ~~Technical Specification document~~ can be used to support certification schemes in other standards for education, such as EQAVET (European Quality Assurance in Vocational Education and Training), and ENQA-ESG (European Association for Quality Assurance in Higher Education, Standards and guidelines for quality assurance in the European Higher Education Area), among others.

2 Normative references

The following ~~referenced~~ documents, ~~are referred to in whole the text in such a way that some or in part, are normatively referenced in all of their content constitutes requirements of 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/IEC 17000:2020, Conformity assessment — Vocabulary and general principles~~

~~ISO/IEC 17021-1:2015, Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 1: Requirements~~

~~ISO 21001:2018, Educational organizations — Management systems for educational organizations — Requirements with guidance for use~~

~~ISO/IEC 17000:2020, Conformity assessment — Vocabulary and general principles~~

~~ISO/IEC 17021-1:2015, Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 1: Requirements~~

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO/IEC 17000, ISO/IEC 17021-1, ~~and~~ ISO 21001 and the following, apply.

ISO and IEC maintain ~~terminological~~terminology databases for use in standardization at the following addresses:

- ~~—~~ISO Online browsing platform: available at <https://www.iso.org/obp>
- ~~—~~IEC Electropedia: available at <https://www.electropedia.org/>

3.1

virtual ~~Site~~site

~~Digital~~digital space where an educational organization performs work or provides educational products and services using an online environment allowing persons, irrespective of their locations, to execute processes:

Note 1 to entry: Where the processes are executed in a physical environment, ~~e.g., for example~~ physical testing and computing laboratories, libraries, sports facilities, dormitories, or food service, the site cannot be considered as a virtual site.

Note 2 to entry: An example of such a virtual site is a learning management platform with all employees performing work located remotely, working in a cloud environment.

Note 3 to entry: A virtual site (e.g. learning management system, organization intranet) is considered a single site for the calculation of ~~Audit~~audit time.

[SOURCE: Adapted from IAF MD5:~~2015~~2019]

3.2

organization

person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its objectives

Note 1 to entry: The concept of organization includes, but is not limited to, sole-trader, company, corporation, firm, enterprise, authority, partnership, charity or institution, or part or combination thereof, whether incorporated or not, public or private.

[SOURCE: ISO 21001:2018, 3.1]

3.3

effectiveness

extent to which planned activities are realized and planned results are achieved

[SOURCE: ISO 21001:2018, 3.6]

3.4

objective

result to be achieved

Note 1 to entry: An objective can be strategic, tactical, or operational.

Note 2 to entry: Objectives can relate to different disciplines (~~such as~~e.g. educational, financial, health and safety, ~~and~~ environmental goals) and can apply at different levels (~~such as~~e.g. strategic, organization-wide, project, product ~~and~~, process).

Note 3 to entry: An objective can be expressed in other ways, e.g. for example as an intended outcome, a purpose, an operational criterion, ~~as~~ an EOMS objective, or by the use of other words with similar meaning (e.g. aim, goal, or target).

Note 4 to entry: In the context of EOMS, EOMS objectives are set by the organization, consistent with the EOMS policy, to achieve specific results.

[SOURCE: ISO 21001:2018, 3.8]

3.5

risk

effect of uncertainty

Note 1 to entry: An effect is a deviation from the expected — positive or negative.

Note 2 to entry: Uncertainty is the state, even partial, of deficiency of information related to, understanding of or knowledge of, an event, its consequence, or likelihood.

Note 3 to entry: Risk is often characterized by reference to potential “events” (as defined in ISO Guide 73:2009, 3.5.1.3) and “consequences” (as defined in ISO Guide 73:2009, 3.6.1.3), or a combination of these.

Note 4 to entry: Risk is often expressed in terms of a combination of the consequences of an event (including changes in circumstances) and the associated “likelihood” (as defined in ISO Guide 73:2009, 3.6.1.1) of occurrence

[SOURCE: ISO 21001:2018, 3.9]

3.6

competence

ability to apply knowledge and skills to achieve intended results

Note 1 to entry: The ability to apply knowledge and skills means that the learner demonstrates appropriate attitudes and behaviour in different contexts or situations with responsibility and autonomy.

[SOURCE: ISO 21001:2018, 3.10]

3.7

documented information

information required to be controlled and maintained by an organization and the medium on which it is contained

Note 1 to entry: Documented information can be in any format and media, and from any source.

Note 2 to entry: Documented information can refer to:

- —the management system, including related processes;
- —information created in order for the organization to operate (documentation);
- —evidence of results achieved (records).

[SOURCE: ISO 21001:2018, 3.11]

3.8

performance

measurable result

Note 1 to entry: Performance can relate either to quantitative or qualitative findings.

ISO/PRF TS 21030:(E)

Note 2 to entry: Performance can relate to the management of activities, processes, products (including services), systems or organizations.

[SOURCE: ISO 21001:2018, 3.13]

3.9

educational organization

organization whose core business is the provision of educational products and educational services

Note 1 to entry: This can include an educational organization within a larger organization whose core business is not education, such as a professional training department.

[SOURCE: ISO 21001:2018, 3.22]

3.10

educational service

process that supports acquisition and development of learners' competence through teaching, learning or research

~~NOTE~~ Note 1 to entry: The service provided in a school library is an educational service when utilized in an educational context where learning how to obtain information and resources from a library is part of the curricula.

[SOURCE: ISO 21001:2018, 3.23, modified ~~—note—~~ Note to entry added.]

3.11

educational product

learning resource

tangible or intangible goods used in pedagogical support of an educational service

Note 1 to entry: Educational products can be either physical or digital and can include textbooks, workbooks, worksheets, manipulatives (e.g. blocks, beads), flashcards, educator workshops, non-fiction, books, posters, educational games, applications, websites, software, online courses, activity books, graphic novels, reference books, DVDs, CDs, magazines and periodicals, study guides, educator guides, laboratories, models, movies, television shows, webcasts, podcasts, maps and atlases, standards, technical specifications and case studies.

Note 2 to entry: Educational products can be produced by any parties, including learners.

[SOURCE: ISO 21001:2018, 3.24]

3.12

learner

beneficiary acquiring and developing competence using an educational service

[SOURCE: ISO 21001:2018, 3.25]

3.13

educator

person who performs teaching activities

Note 1 to entry: In different contexts, an educator is sometimes referred to as a teacher, a trainer, a coach, a facilitator, a tutor, a consultant, an instructor, a lecturer or a mentor.

[SOURCE: ISO 21001:2018, 3.27]

3.14

staff

persons who work for and within an organization