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BSI Standards Publication

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

Part 3: Competence requirements for auditing and certification of quality management systems

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National foreword

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Part 3: Competence requirements for auditing and certification of quality management systems

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Foreword

ISO (the International Organization for Standardization) and IEC (the International Electrotechnical Commission) form the specialized system for worldwide standardization. National bodies that are members of ISO or IEC participate in the development of International Standards through technical committees established by the respective organization to deal with particular fields of technical activity. ISO and IEC technical committees collaborate in fields of mutual interest. Other international organizations, governmental and non-governmental, in liaison with ISO and IEC, also take part in the work. In the field of conformity assessment, the ISO Committee on conformity assessment (CASCO) is responsible for the development of International Standards and Guides.

International Standards are drafted in accordance with the rules given in the ISO/IEC Directives, Part 2.

Draft International Standards adopted by the technical committees 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.

In other circumstances, particularly when there is an urgent market requirement for such documents, a technical committee may decide to publish other types of document:

— an ISO/IEC Publicly Available Specification (ISO/IEC PAS) represents an agreement between technical experts in an ISO working group and is accepted for publication if it is approved by more than 50 % of the members of the parent committee casting a vote;

— an ISO/IEC Technical Specification (ISO/IEC TS) represents an agreement between the members of a technical committee and is accepted for publication if it is approved by 2/3 of the members of the committee casting a vote.

An ISO/PAS or ISO/TS is reviewed after three years in order to decide whether it will be confirmed for a further three years, revised to become an International Standard, or withdrawn. If the ISO/PAS or ISO/TS is confirmed, it is reviewed again after a further three years, at which time it must either be transformed into an International Standard or be withdrawn.

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

ISO/IEC/TS 17021-3 was prepared by Technical Committee ISO/TC 176, *Quality management and quality assurance*, Subcommittee SC 3, *Supporting technologies*, and 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.

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 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]

The following parts are under preparation:

— *Part 4: Competence requirements for auditing and certification of event sustainability management* [Technical Specification]

— *Part 5: Competence requirements for auditing and certification of asset management systems* [Technical Specification]

The next revision of ISO/IEC 17021:2011 will reflect the different parts and will become ISO/IEC 17021-1.

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Introduction

This Technical Specification complements ISO/IEC 17021. In particular, it clarifies the requirements for the competence of personnel involved in the certification process set out in ISO/IEC 17021:2011, Clause 7 and Annex A.

Certification bodies have a responsibility to interested parties, including their clients and the customers of the organizations whose management systems are certified, to ensure that only those auditors who demonstrate the relevant competence are allowed to conduct quality management system (QMS) audits.

It is intended that all QMS auditors and other personnel involved in certification functions possess the generic competence described in ISO/IEC 17021, as well as the specific QMS knowledge described in this Technical Specification.

Certification bodies will need to identify the specific audit team competence needed for the scope of each QMS audit. The selection of a QMS audit team will depend upon various factors, including the client's technical area and specific processes.

In this Technical Specification, 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.

For the purposes of research, users are encouraged to share their views on this Technical Specification and their priorities for changes to future editions. Click on the link below to take part in the online survey:

http://www.surveymonkey.com/s/NLPN99L

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TECHNICAL SPECIFICATION **ISO/IEC TS 17021-3:2013(E)**

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

Part 3: Competence requirements for auditing and certification of quality management systems

1 Scope

This Technical Specification complements the existing requirements of ISO/IEC 17021. It includes specific competence requirements for personnel involved in the certification process for quality management systems (QMS).

NOTE This Technical Specification is applicable for auditing and certification of a QMS based on ISO 9001. It can also be used for other QMS applications.

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/IEC 17021:2011, *Conformity assessment — Requirements for bodies providing audit and certification of management systems*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO/IEC 17021 apply.

4 Generic competence requirements

The certification body shall define the competence requirements for each certification function as referenced in ISO/IEC 17021:2011, Table A.1. When defining these competence requirements, the certification body shall take into account all the requirements specified in ISO/IEC 17021, as well as those specified in Clauses 5 and 6 of this Technical Specification that are relevant for the QMS technical areas (see ISO/IEC 17021:2011, 7.1.2), as defined by the certification body.

NOTE 1 Annex A provides a summary of the competence requirements for personnel involved in specific certification functions.

NOTE 2 Information on the principles of auditing is provided in ISO 19011.

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