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Part 14: Competence requirements for auditing and certification of management systems for records

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Contents

Page

Foreword ..... **iv**
Introduction ..... **v**
1 Scope **1**
2 Normative references **1**
3 Terms and definitions **1**
4 Generic competence requirements **1**
5 Competence requirements for MSR auditors **2**
5.1 General 2
5.2 Fundamental concepts and principles for managing records 2
5.3 Discipline-specific knowledge 2
5.4 Context of the organization 3
5.5 Client products, services, processes and organization 3
6 Competence requirements for other personnel **3**
6.1 General 3
6.2 Competence of personnel reviewing audit reports and making certification decisions 3
Annex A (informative) **Knowledge for MSR auditing and certification** **5**
Bibliography **6**

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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.

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 or www.iec.ch/members_experts/refdocs).

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) or the IEC list of patent declarations received (see https://patents.iec.ch).

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. In the IEC, see www.iec.ch/understanding-standards.

This document was prepared by the ISO Committee on Conformity Assessment (CASCO), in collaboration with ISO Technical Committee ISO/TC 46, *Information and documentation*, Subcommittee SC 11, *Archives/records management*.

A list of all parts in the ISO/IEC 17021 series can be found on the ISO and IEC websites.

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 and www.iec.ch/national-committees.

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Introduction

Creation and management of records are integral to any organization's activities, processes and systems. They enable business effectiveness and efficiency, accountability, risk management and business continuity. They also enable organizations to capitalize on the value of their information resources as strategic assets, and to contribute to the preservation of collective memory, in response to the challenges of the global and digital environment.

ISO 30301 specifies requirements to be met by management systems for records (MSR) in order to support an organization in the achievement of its mandate, mission, strategy and goals. It addresses the development and implementation of a records policy and objectives and gives information on measuring and monitoring performance.

This document complements the requirements in ISO/IEC 17021-1:2015. In particular, it clarifies the requirements for the competence of personnel involved in the certification process set out in ISO/IEC 17021-1:2015, 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 relevant competence are allowed to conduct audits of management systems for records (MSR). It is intended that all auditors possess the generic competencies described in ISO/IEC 17021-1, as well as the specific competencies described in this document. Certification bodies will need to identify the specific audit team competence needed for the scope of each audit.

In this document, 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.

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

Part 14: Competence requirements for auditing and certification of management systems for records

1 Scope

This document specifies the competence requirements for personnel involved in the audit and certification process for management systems for records (MSR). It complements the existing requirements of ISO/IEC 17021-1.

NOTE This document is applicable for auditing and certification of MSR based on ISO 30301. It can also be used for other MSR applications.

2 Normative references

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements 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 17021-1:2015, *Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 1: Requirements*

ISO 30300, *Information and documentation — Records management — Core concepts and vocabulary*

ISO 30301, *Information and documentation — Management systems for records — Requirements*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 30300, ISO 30301 and ISO/IEC 17021-1 apply.

ISO and IEC maintain terminological 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/

4 Generic competence requirements

The certification body shall define the competence requirements for each certification function as referenced in ISO/IEC 17021-1:2015, Table A.1. When defining these competence requirements, the certification body shall take into account all the requirements specified in ISO/IEC 17021-1, as well as those specified in Clauses 5 and 6 of this document that are relevant for the MSR technical areas (see ISO/IEC 17021-1:2015, 7.1.2), as defined by the certification body.

NOTE 1 Annex A provides a summary of the knowledge required for MSR auditing and certification.

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