Technical Specification

ISO/IEC TS 17021-16

First edition
2026-11

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

Part 16: Competence requirements for auditing and certification of innovation management systems

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

Partie 16: Exigences de compétence pour l'audit et la certification des systèmes de management de l'innovation

Reference number
ISO/IEC TS 17021-16:2026(en)

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Published in Switzerland

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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).

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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 ISO Committee on Conformity Assessment (CASCO), in collaboration with ISO Technical Committee ISO/TC 279, *Innovation 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

ISO 56001 sets out the innovation management requirements for management systems applicable to any organization, regardless of type or size, products and services provided, or the types of innovations and innovation approaches used. Innovation management is particularly complex in that the intended results are often within an emerging context.

This document is intended to be used in conjunction with ISO/IEC 17021-1. 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 only those auditors who demonstrate the relevant competence are allowed to conduct innovation management system (IMS) audits.

Certification bodies identify the specific audit team competence needed for the scope of IMS audit. The selection of the IMS audit team will depend upon various factors, including the context of the organization, its innovation intent and the sector in which it operates.

This document also describes the competence requirements for other personnel involved in certification activities.

In this document, the initialism of “IMS” is specifically used to indicate an innovation management system. In different context, IMS can have other meanings, e.g. IMS is referred to as integrated management system in conformity assessment.

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

Part 16: Competence requirements for auditing and certification of innovation management systems

1 Scope

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

NOTE This document is applicable to auditing and certification of an IMS based on ISO 56001.

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 56001, *Innovation management system — Requirements*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO/IEC 17021-1 and ISO 56001 apply.

ISO and IEC maintain 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/

4 Generic competence requirements

The certification body shall define the competence requirements for each 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 IMS, as defined by the certification body.

NOTE Annex A provides an overview of the competence requirements for personnel involved in specific certification functions.

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