TECHNICAL SPECIFICATION

SPÉCIFICATION TECHNIQUE

TECHNISCHE SPEZIFIKATION

CEN/CLC ISO/IEC/TS 17021-3

August 2016

English version

Conformity assessment - Requirements for bodies providing audit and certification of management systems - Part 3: Competence requirements for auditing and certification of quality management systems (ISO/IEC/TS 17021-3:2013)

Évaluation de la conformité - Exigences pour les organismes procédant à l'audit et à la certification des systèmes de management - Partie 3: Exigences de compétence pour l'audit et la certification des systèmes de management de la qualité (ISO/IEC/TS 17021-3:2013)

Konformitätsbewertung - Anforderungen an Stellen, die Managementsysteme auditieren und zertifizieren - Teil 3: Anforderungen an die Kompetenz für die Auditierung und Zertifizierung von Qualitätsmanagementsystemen (ISO/IEC/TS 17021-3:2013)

This Technical Specification (TS) was approved by CEN on 24 July 2016 for provisional application.

The period of validity of this TS is limited initially to three years. After two years the members of CEN and CENELEC will be requested to submit their comments, particularly on the question whether the TS can be converted into a European Standard.

CEN and CENELEC members are required to announce the existence of this TS in the same way as for an EN and to make the TS available promptly at national level in an appropriate form. It is permissible to keep conflicting national standards in force (in parallel to the TS) until the final decision about the possible conversion of the TS into an EN is reached.

CEN and CENELEC members are the national standards bodies and national electrotechnical committees of 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 United Kingdom.

Ref. No. CEN/CLC ISO/IEC/TS 17021-3:2016 E

European foreword

The text of ISO/IEC/TS 17021-3:2013 has been prepared by Technical Committee ISO/CASCO "Committee on conformity assessment" of the International Organization for Standardization (ISO) and the International Electrotechnical Commission (IEC) and has been taken over as CEN/CLC ISO/IEC/TS 17021-3:2016 by Technical Committee CEN-CENELEC/TC 1 "Criteria for conformity assessment bodies" the secretariat of which is held by BSI.

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.

According to the CEN-CENELEC Internal Regulations, the national standards organizations of the following countries are bound to announce this Technical Specification: 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/TS 17021-3:2013 has been approved by CEN as CEN/CLC ISO/IEC/TS 17021-3:2016 without any modification.

Contents

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

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.

1