

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 17021-3:2017)

## EESTI STANDARDI EESSÕNA

## NATIONAL FOREWORD

<p>See Eesti standard EVS-EN ISO/IEC 17021-3:2018 sisaldab Euroopa standardi EN ISO/IEC 17021-3:2018 ingliskeelset teksti.</p> <p>Standard on jõustunud sellekohase teate avaldamisega EVS Teatajas.</p> <p>Euroopa standardimisorganisatsioonid on teinud Euroopa standardi rahvuslikele liikmetele kättesaadavaks 12.12.2018.</p> <p>Standard on kättesaadav Eesti Standardimis- ja Akrediteerimiskeskusest.</p>	<p>This Estonian standard EVS-EN ISO/IEC 17021-3:2018 consists of the English text of the European standard EN ISO/IEC 17021-3:2018.</p> <p>This standard has been endorsed with a notification published in the official bulletin of the Estonian Centre for Standardisation and Accreditation.</p> <p>Date of Availability of the European standard is 12.12.2018.</p> <p>The standard is available from the Estonian Centre for Standardisation and Accreditation.</p>
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EUROPEAN STANDARD

**EN ISO/IEC 17021-3**

NORME EUROPÉENNE

EUROPÄISCHE NORM

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Supersedes CEN/CLC ISO/IEC/TS 17021-3:2016

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  
17021-3:2017)**

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  
17021-3:2017)

Konformitätsbewertung - Anforderungen an Stellen,  
die Managementsysteme auditieren und zertifizieren -  
Teil 3: Anforderungen an die Kompetenz für die  
Auditierung und Zertifizierung von  
Qualitätsmanagementsystemen (ISO/IEC 17021-  
3:2017)

This European Standard was approved by CEN on 26 November 2018.

CEN and CENELEC members are bound to comply with the CEN/CENELEC Internal Regulations which stipulate the conditions for giving this European Standard the status of a national standard without any alteration. Up-to-date lists and bibliographical references concerning such national standards may be obtained on application to the CEN-CENELEC Management Centre or to any CEN and CENELEC member.

This European Standard exists in three official versions (English, French, German). A version in any other language made by translation under the responsibility of a CEN and CENELEC member into its own language and notified to the CEN-CENELEC Management Centre has the same status as the official versions.

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**CEN-CENELEC Management Centre:  
Rue de la Science 23, B-1040 Brussels**

## European foreword

The text of ISO/IEC 17021-3:2017 has been prepared by Technical Committee ISO/CASCO "Committee on conformity assessment" of the International Organization for Standardization (ISO) and has been taken over as EN ISO/IEC 17021-3:2018 by Technical Committee CEN/CLC/JTC 1 "Criteria for conformity assessment bodies" the secretariat of which is held by BSI.

This European Standard shall be given the status of a national standard, either by publication of an identical text or by endorsement, at the latest by June 2019, and conflicting national standards shall be withdrawn at the latest by June 2019.

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

This document supersedes CEN/CLC ISO/IEC/TS 17021-3:2016.

According to the CEN-CENELEC Internal Regulations, the national standards organizations of the following countries are bound to implement this European Standard: 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, Serbia, Slovakia, Slovenia, Spain, Sweden, Switzerland, Turkey and the United Kingdom.

## Endorsement notice

The text of ISO/IEC 17021-3:2017 has been approved by CEN as EN ISO/IEC 17021-3:2018 without any modification.

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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, ISO and IEC develop joint ISO/IEC documents under the management of the ISO Committee on Conformity assessment (ISO/CASCO).

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](http://www.iso.org/directives)).

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

For an explanation on 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 the following URL: [www.iso.org/iso/foreword.html](http://www.iso.org/iso/foreword.html).

This document was prepared by Technical Committee ISO/TC 176, *Quality management systems*, 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.

This first edition of ISO/IEC 17021-3 cancels and replaces ISO/IEC/TS 17021-3:2013, which has been technically revised.

The following major changes have been made compared with ISO/IEC/TS 17021-3:2013:

- addition of new requirements of ISO 9001:2015, which require additional competence to audit;
- expansion of fundamental concepts and quality management principles and their application;
- inclusion of the knowledge of the role of leadership of an organization in relation to its quality management system;
- inclusion of knowledge of application of risk based thinking, including the determination of risks and opportunities;
- inclusion of competence criteria for the auditor to understand the context of the organization.

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

## Introduction

This document complements 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, 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 personnel involved in certification functions possess the generic competence described in ISO/IEC 17021-1, as well as the specific QMS knowledge described in this document.

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 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.

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

**NOTE** This document 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 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 9000, *Quality management systems — Fundamentals and vocabulary*

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 17021-1 and ISO 9000 apply.

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

- ISO Online browsing platform: available at <http://www.iso.org/obp>
- IEC Electropedia: available at <http://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 QMS technical areas (see ISO/IEC 17021-1:2015, 7.1.2), as defined by the certification body.

**NOTE** [Annex A](#) provides a summary of the knowledge required for QMS auditing and certification.