

STN	Posudzovanie zhody Požiadavky na orgány vykonávajúce audit a certifikáciu systémov manažérstva Časť 3: Požiadavky na kompetentnosť pre audit a certifikáciu systémov manažérstva kvality (ISO/IEC 17021-3: 2017)	STN EN ISO/IEC 17021-3 01 5257
------------	---	--

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)

Táto norma obsahuje anglickú verziu európskej normy.
This standard includes the English version of the European Standard.

Táto norma bola oznámená vo Vestníku ÚNMS SR č. 05/19

Obsahuje: EN ISO/IEC 17021-3:2018, ISO/IEC 17021-3:2017

Oznámením tejto normy sa ruší
STN P CEN/CLC ISO/IEC/TS 17021-3 (01 5257) z marca 2017

128405

EUROPEAN STANDARD

EN ISO/IEC 17021-3

NORME EUROPÉENNE

EUROPÄISCHE NORM

December 2018

ICS 03.120.20

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.

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, Serbia, Slovakia, Slovenia, Spain, Sweden, Switzerland, Turkey and United Kingdom.



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

EN ISO/IEC 17021-3:2018 (E)

Contents	Page
European foreword.....	3

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.

**INTERNATIONAL
STANDARD**

**ISO/IEC
17021-3**

First edition
2017-03

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

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

*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*



Reference number
ISO/IEC 17021-3:2017(E)

© ISO/IEC 2017

ISO/IEC 17021-3:2017(E)



COPYRIGHT PROTECTED DOCUMENT

© ISO/IEC 2017, Published in Switzerland

All rights reserved. Unless otherwise specified, no part of this publication may be reproduced or utilized otherwise in any form or by any means, electronic or mechanical, including photocopying, or posting on the internet or an intranet, without prior written permission. Permission can be requested from either ISO at the address below or ISO's member body in the country of the requester.

ISO copyright office
Ch. de Blandonnet 8 • CP 401
CH-1214 Vernier, Geneva, Switzerland
Tel. +41 22 749 01 11
Fax +41 22 749 09 47
copyright@iso.org
www.iso.org

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 QMS auditors and audit teams	2
5.1 General.....	2
5.2 Fundamental concepts and quality management principles.....	2
5.3 Context of the organization.....	2
5.4 Client products, services, processes and organization.....	2
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 QMS auditing and certification	4
Bibliography	5

ISO/IEC 17021-3:2017(E)**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).

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).

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.

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*

koniec náhľadu – text ďalej pokračuje v platenej verzii STN