



ISO/IEC 17021 and Competence

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4 Principles

4.3 Competence

Competence of the personnel supported by the management system of the certification body is necessary to deliver certification that provides confidence.

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3 Terms and definitions

3.7 competence

ability to apply knowledge and skills to achieve intended results

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7.1.1 CB shall have processes to ensure

- **personnel have knowledge relevant to types of management systems and geographic areas**
- **determine for each technical area, competence required**
- **demonstration of competence prior to use**

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7.1.2 Determination of competence criteria

- **CB shall have a documented process for determining competence criteria**
- **Competence criteria shall be determined for**
 - **Each type of management system standard**
 - **Each technical area**
 - **For each function in the certification process**
- **Output shall be documented criteria of required knowledge and skills to achieve intended results**
- **Normative annex A specifies types of knowledge a skills a CB shall define for specific functions**

Normative Annex A

Certification functions knowledge and skills	Conducting the application review to determine audit team competence required, to select the audit team members, and to determine the audit time	Reviewing audit reports and making certification decisions	Auditors	Leading the audit team
Knowledge of business management practices			X	X
Knowledge of audit principles, practices and techniques		X	X+	X+
Knowledge of specific management system standards/normative documents	X	X	X+	X+
Knowledge of certification body's processes	X	X	X	X
Knowledge of client business sector	X	X	X+	X+

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3 Terms and definitions

3.10 technical area

area characterized by commonalities of processes relevant to a specific type of management system

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7.1.2 Determination of competence criteria

Note elaborates on ‘technical area’ as applied to a QMS

- Related to processes needed to fulfill customer expectations and regulatory requirements for an organization’s products and services

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7.1.2 Determination of competence criteria

Note elaborates on ‘technical area’ as applied to an EMS

- **Related to categories of activities, products and services related to environmental aspects affecting air, water, land, natural resources, flora, fauna and humans**

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7.1.2 Determination of competence criteria

Note elaborates on ‘technical area’ as applied to an SCMS

- **Related to processes in the context of security risks of supplies such as transportation, storage and information**

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7.1.2 Determination of competence criteria

Note elaborates on ‘technical area’ as applied to an ISMS

- **Related to categories of information security technologies and practices and selection of adequate security controls that protect information**

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7.1.3 Evaluation processes

- **CB shall have documented processes for initial competence evaluation and on-going monitoring of competence and performance**
- **All personnel-audits and certification**
- **Applying the determined competence criteria**
- **CB shall demonstrate that its evaluation methods are effective**
- **Output shall be to identify personnel who have demonstrated the level of competence required**

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7.1.3 Evaluation processes

Note: informative Annex B for possible evaluation methods and Informative Annex C provides an example of a process flow for determining and maintaining competence using the methods in Annex B

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Informative Annex B—Possible Evaluation Methods

- Review of records
- Feedback
- Interviews
- Observations
- Examinations

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7.2.1 The certification body shall have

- as part of its own organization
- personnel having sufficient competence for managing the type and range of audit programmes and other certification work performed.

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7.2.4 CB shall have defined processes for

- **selecting, training, and authorizing auditors and experts**
- **initial competence evaluation shall include observing an on-site audit—by a competent evaluator**

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7.2.5 The certification body shall have a process to demonstrate

- **effective auditing**
- **use of auditors and audit team leaders possessing**
 - **generic auditing skills and knowledge**
 - **skills and knowledge appropriate for auditing in specific technical areas**

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7.2.6 CB shall ensure auditors

- are knowledgeable of audit processes and certification requirements
- have access to up-to-date documented procedures, instructions and relevant information

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7.2.7 CB shall use auditors only for those certification activities where they have demonstrated competence

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7.2.9 group or individual which takes the certification decision shall have knowledge and experience sufficient to evaluate the audit processes and recommendations of the audit team

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9.1.3 Audit team selection and assignments

9.1.3.1 The certification body shall have a process for selecting and appointing the audit team, including the audit team leader

- taking into account the competence needed to achieve the objectives of the audit.
- if there is only one auditor, the auditor shall have the competence to perform the duties of an audit team leader applicable for that audit.

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9.1.3 Audit team selection and assignments

9.1.3.3 The necessary knowledge and skills of the audit team leader and auditors may be supplemented by technical experts who shall operate under the direction of an auditor.

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9.1.3 Audit team selection and assignments

9.1.3.5 The audit team leader, in consultation with the audit team, shall assign to each team member responsibility for auditing specific processes, functions, sites, areas or activities.

- Such assignments shall take into account the need for competence

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9.2 Initial audit and certification

9.2.2 application review

9.2.2.3 based on application review, CB to determine competences needed for audit team and for the certification decision

9.2.2.4 appointment of an audit team having the totality of competences needed

9.2.2.5 appointment of persons for making the certification decision that have the competence needed

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ISO/IEC 17021-1

ISO/IEC TS 17021-2 **competence for EMS**

ISO/IEC TS 17021-3 **competence for QMS**

ISO/IEC TS 17021-4 **competence for event sustainability MS**

ISO/IEC TS 17021-5 **competence for asset MS**

ISO/IEC TS 17021-6 **competence for business continuity MS**

ISO/IEC TS 17021-7 **competence for road traffic safety MS**

ISO TS 22003 **includes competence for food safety MS**

ISO 28003 **includes competence for supply chain security MS**

ISO 50003 **includes competence for energy MS**

ISO/IEC 27006 **includes competence for information security MS**

Other Standards

ISO/IEC 17065:2012.

6.1.1.2 The personnel shall be competent for the functions they perform, including making required technical judgments, defining policies and implementing them

6.1.2.1 The CB shall establish, implement and maintain a procedure for management of competencies of personnel involved in the certification process.



Other Standards

ISO/IEC 17065:2012

The procedure shall require the certification body to:

- a. Determine the criteria for the competence of personnel for each function in the certification process, taking into account the requirements of the schemes.
- b. Identify training needs and provide, as necessary, training programmes on certification processes, requirements, methodologies, activities and other relevant certification scheme requirements
- c. Demonstrate that the personnel have the required competence for the duties and responsibilities they undertake;
- d. Formally authorize personnel for functions in the certification process,
- e. Monitor the performance of personnel.

