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SINGAPORE STANDARD

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

– Part 1 : Requirements

Confirmed 2024

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– Part 1 : Requirements

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National Foreword

This Singapore Standard was prepared by the Working Group on Management Systems and Others (also known as the National Mirror Working Group on ISO Committee for Conformity Assessment (CASCO)) set up by the Technical Committee on Conformity Assessment (CASCO) under the purview of the Safety and Quality Standards Committee.

This standard is an identical adoption of ISO/IEC 17021-1:2015, "Conformity assessment – Requirements for bodies providing audit and certification of management systems – Part 1: Requirements", published by the International Organization for Standardization (ISO) and the International Electrotechnical Commission (IEC).

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

NOTE

1. *Singapore Standards (SSs) and Technical References (TRs) are reviewed periodically to keep abreast of technical changes, technological developments and industry practices. The changes are documented through the issue of either amendments or revisions. Where SSs are deemed to be stable, i.e. no foreseeable changes in them, they will be classified as "mature standards". Mature standards will not be subject to further review, unless there are requests to review such standards.*
2. *An SS or TR is voluntary in nature except when it is made mandatory by a regulatory authority. It can also be cited in contracts making its application a business necessity. Users are advised to assess and determine whether the SS or TR is suitable for their intended use or purpose. If required, they should refer to the relevant professionals or experts for advice on the use of the document. Enterprise Singapore and the Singapore Standards Council shall not be liable for any damages whether directly or indirectly suffered by anyone or any organisation as a result of the use of any SS or TR. Although care has been taken to draft this standard, users are also advised to ensure that they apply the information after due diligence.*
3. *Compliance with a SS or TR does not exempt users from any legal obligations.*

INTERNATIONAL STANDARD

ISO/IEC 17021-1

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

Part 1: Requirements

*Évaluation de la conformité — Exigences pour les organismes
procédant à l'audit et à la certification des systèmes de management —
Partie 1: Exigences*

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Contents

Page

Foreword	v
Introduction	vi
1 Scope	1
2 Normative references	1
3 Terms and definitions	1
4 Principles	4
4.1 General.....	4
4.2 Impartiality.....	4
4.3 Competence.....	5
4.4 Responsibility.....	5
4.5 Openness.....	5
4.6 Confidentiality.....	6
4.7 Responsiveness to complaints.....	6
4.8 Risk-based approach.....	6
5 General requirements	6
5.1 Legal and contractual matters.....	6
5.1.1 Legal responsibility.....	6
5.1.2 Certification agreement.....	7
5.1.3 Responsibility for certification decisions.....	7
5.2 Management of impartiality.....	7
5.3 Liability and financing.....	9
6 Structural requirements	9
6.1 Organizational structure and top management.....	9
6.2 Operational control.....	9
7 Resource requirements	10
7.1 Competence of personnel.....	10
7.1.1 General considerations.....	10
7.1.2 Determination of competence criteria.....	10
7.1.3 Evaluation processes.....	10
7.1.4 Other considerations.....	10
7.2 Personnel involved in the certification activities.....	10
7.3 Use of individual external auditors and external technical experts.....	11
7.4 Personnel records.....	12
7.5 Outsourcing.....	12
8 Information requirements	12
8.1 Public information.....	12
8.2 Certification documents.....	13
8.3 Reference to certification and use of marks.....	14
8.4 Confidentiality.....	15
8.5 Information exchange between a certification body and its clients.....	15
8.5.1 Information on the certification activity and requirements.....	15
8.5.2 Notice of changes by a certification body.....	16
8.5.3 Notice of changes by a certified client.....	16
9 Process requirements	16
9.1 Pre-certification activities.....	16
9.1.1 Application.....	16
9.1.2 Application review.....	16
9.1.3 Audit programme.....	17
9.1.4 Determining audit time.....	18
9.1.5 Multi-site sampling.....	18
9.1.6 Multiple management systems standards.....	19

9.2	Planning audits	19
9.2.1	Determining audit objectives, scope and criteria	19
9.2.2	Audit team selection and assignments	19
9.2.3	Audit plan	21
9.3	Initial certification	22
9.3.1	Initial certification audit	22
9.4	Conducting audits	23
9.4.1	General	23
9.4.2	Conducting the opening meeting	23
9.4.3	Communication during the audit	24
9.4.4	Obtaining and verifying information	24
9.4.5	Identifying and recording audit findings	25
9.4.6	Preparing audit conclusions	25
9.4.7	Conducting the closing meeting	25
9.4.8	Audit report	26
9.4.9	Cause analysis of nonconformities	27
9.4.10	Effectiveness of corrections and corrective actions	27
9.5	Certification decision	27
9.5.1	General	27
9.5.2	Actions prior to making a decision	28
9.5.3	Information for granting initial certification	28
9.5.4	Information for granting recertification	28
9.6	Maintaining certification	28
9.6.1	General	28
9.6.2	Surveillance activities	29
9.6.3	Recertification	30
9.6.4	Special audits	31
9.6.5	Suspending, withdrawing or reducing the scope of certification	31
9.7	Appeals	31
9.8	Complaints	32
9.9	Client records	33
10	Management system requirements for certification bodies	34
10.1	Options	34
10.2	Option A: General management system requirements	34
10.2.1	General	34
10.2.2	Management system manual	34
10.2.3	Control of documents	34
10.2.4	Control of records	35
10.2.5	Management review	35
10.2.6	Internal audits	36
10.2.7	Corrective actions	36
10.3	Option B: Management system requirements in accordance with ISO 9001	36
10.3.1	General	36
10.3.2	Scope	37
10.3.3	Customer focus	37
10.3.4	Management review	37
	Annex A (normative) Required knowledge and skills	38
	Annex B (informative) Possible evaluation methods	41
	Annex C (informative) Example of a process flow for determining and maintaining competence	43
	Annex D (informative) Desired personal behaviour	45
	Annex E (informative) Audit and certification process	46
	Bibliography	48

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 meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the WTO principles in the Technical Barriers to Trade (TBT) see the following URL: [Foreword - Supplementary information](#)

ISO/IEC 17021-1 was prepared by 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 17021-1 cancels and replaces ISO/IEC 17021:2011, which has been technically revised.

ISO/IEC 17021 consists of the following parts, under the general title *Conformity assessment — Requirements for bodies providing audit and certification of management systems*:

- *Part 1: Requirements*
- *Part 2: Competence requirements for auditing and certification of environmental management systems* [Technical Specification]
- *Part 3: Competence requirements for auditing and certification of quality management systems* [Technical Specification]
- *Part 4: Competence requirements for auditing and certification of event sustainability management systems* [Technical Specification]
- *Part 5: Competence requirements for auditing and certification of asset management systems* [Technical Specification]
- *Part 6: Competence requirements for auditing and certification of business continuity management systems* [Technical Specification]
- *Part 7: Competence requirements for auditing and certification of road traffic safety management systems* [Technical Specification]

Introduction

Certification of a management system, such as the environmental management system, quality management system or information security management system of an organization, is one means of providing assurance that the organization has implemented a system for the management of the relevant aspects of its activities, products and services, in line with the organization's policy and the requirements of the respective international management system standard.

This part of ISO/IEC 17021 specifies requirements for bodies providing audit and certification of management systems. It gives generic requirements for such bodies performing audit and certification in the field of quality, the environment and other types of management systems. Such bodies are referred to as certification bodies. Observance of these requirements is intended to ensure that certification bodies operate management system certification in a competent, consistent and impartial manner, thereby facilitating the recognition of such bodies and the acceptance of their certifications on a national and international basis. This part of ISO/IEC 17021 serves as a foundation for facilitating the recognition of management system certification in the interests of international trade.

Certification of a management system provides independent demonstration that the management system of the organization:

- a) conforms to specified requirements;
- b) is capable of consistently achieving its stated policy and objectives;
- c) is effectively implemented.

Conformity assessment, such as the certification of a management system, thereby provides value to the organization, its customers and interested parties.

[Clause 4](#) describes the principles on which credible certification is based. These principles help the user to understand the essential nature of certification and they are a necessary prelude to [Clauses 5 to 10](#). These principles underpin the requirements in this part of ISO/IEC 17021, but such principles are not auditable requirements in their own right. [Clause 10](#) describes two alternative ways of supporting and demonstrating the consistent achievement of the requirements in this part of ISO/IEC 17021 through the establishment of a management system by the certification body.

Certification activities are the individual activities that make up the entire certification process, from application review to termination of certification. [Annex E](#) provides an illustration of the way in which many of these activities can interact.

Certification activities involve the audit of an organization's management system. The form of attestation of conformity of an organization's management system to a specific management system standard or other normative requirements is usually a certification document or a certificate.

This part of ISO/IEC 17021 is applicable to the auditing and certification of any type of management system. It is recognized that some of the requirements, in particular those related to auditor competence, can be supplemented with additional criteria in order to achieve the expectations of the interested parties.

In this part of ISO/IEC 17021, 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 1: Requirements

1 Scope

This part of ISO/IEC 17021 contains principles and requirements for the competence, consistency and impartiality of bodies providing audit and certification of all types of management systems.

Certification bodies operating to this part of ISO/IEC 17021 do not need to offer all types of management system certification.

Certification of management systems is a third-party conformity assessment activity (see ISO/IEC 17000:2004, 5.5) and bodies performing this activity are therefore third-party conformity assessment bodies.

NOTE 1 Examples of management systems include environmental management systems, quality management systems and information security management systems.

NOTE 2 In this part of ISO/IEC 17021, certification of management systems is referred to as “certification” and third-party conformity assessment bodies are referred to as “certification bodies”.

NOTE 3 A certification body can be non-governmental or governmental, with or without regulatory authority.

NOTE 4 This part of ISO/IEC 17021 can be used as a criteria document for accreditation, peer assessment or other audit processes.

2 Normative references

The following documents, in whole or in part, are normatively referenced in this document and are indispensable for its application. 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 17000, *Conformity assessment — Vocabulary and general principles*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 9000, ISO/IEC 17000 and the following apply.

3.1

certified client

organization whose management system has been certified

3.2

impartiality

presence of objectivity

Note 1 to entry: Objectivity means that conflicts of interest do not exist, or are resolved so as not to adversely influence subsequent activities of the certification body.