Review and Revision of ISO/IEC 17021

History - September 2000 to present

ISO/IEC 17021:2006

ISO/IEC 17021:2011

Revision of ISO/IEC 17021

NWIP

Discussion of progress

History

- Developed by ISO/CASCO Working Group 21

- Co-conveners
  - Alister Dalrymple, France-AFNOR
    - AFNOR, a Standards Development and Certification body
  - Randy Dougherty, US-ANSI
    - ANAB, an accreditation body for management system certification bodies

ISO/IEC 17021:2006

Original intent of WG21 for 17021

- To replace Guides 62 and 66
- To be applicable to any management systems
- To incorporate IAF guidance
- To incorporate latest technology
- To be consistent with the common elements (WG23)
- Principles-based performance requirements (where possible)

ISO/IEC 17021:2006

ISO/IEC 17021:2006

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

Published 15 September 2006

ISO/IEC 17021:2011

Intent of WG21 for the revision of 17021 after 2006

- References to ISO 19011 guidelines with requirements applicable to any third party MS audit
  - Audit process
  - CB management of competence, including the competence of audit teams

- Template for specific auditing requirements that can be applied to other ISO TCs

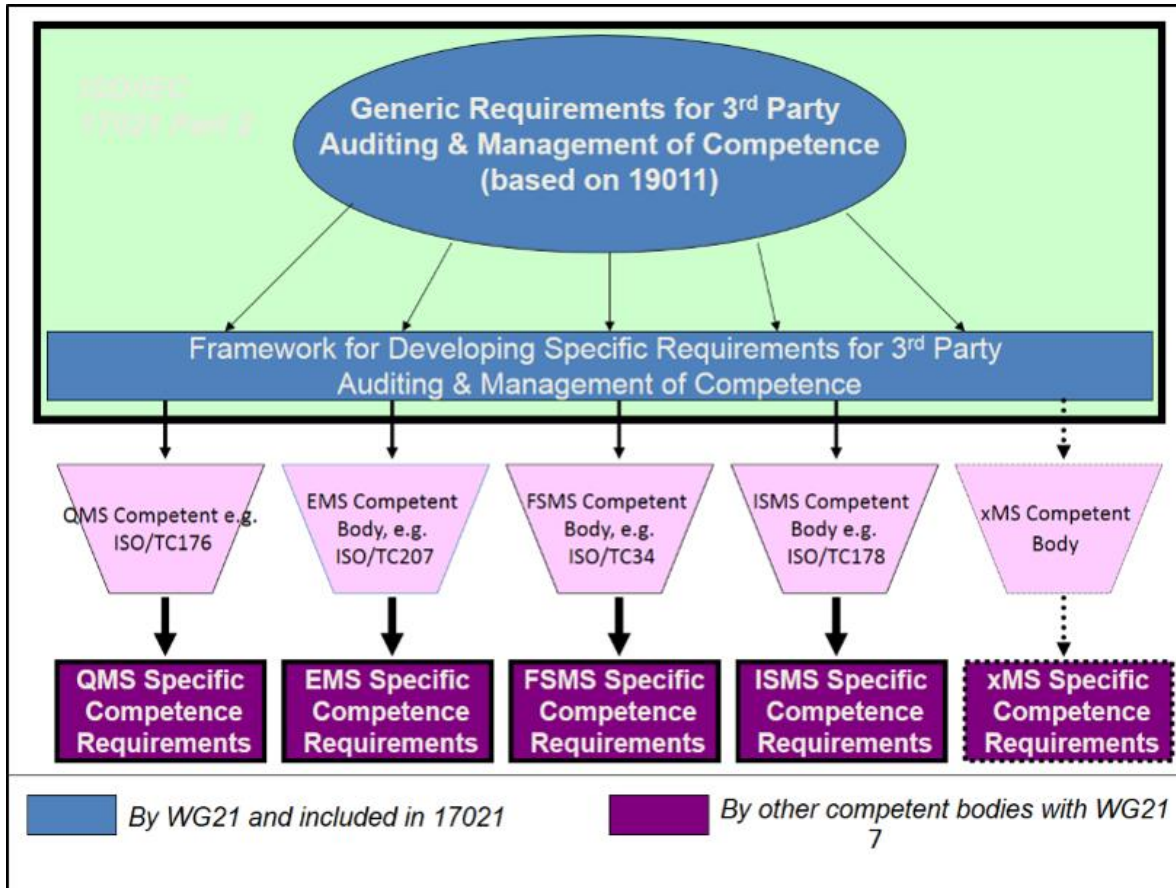 - TC 176 for ISO 9001, TC 207 for ISO 14001, TC 34 for ISO 22000, etc.

ISO/IEC 17021:2011

ISO/IEC 17021:2011

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

Published 1 February 2011

Generic Requirements for 3rd Party Auditing & Management of Competence (based on 19011)

Framework for Developing Specific Requirements for 3rd Party Auditing & Management of Competence

QMS Competent e.g. ISO/TC176

EMS Competent Body, e.g. ISO/TC207

FSMS Competent Body, e.g. ISO/TC34

ISMS Competent Body e.g. ISO/TC178

xMS Competent Body

QMS Specific Competence Requirements

EMS Specific Competence Requirements

FSMS Specific Competence Requirements

ISMS Specific Competence Requirements

xMS Specific Competence Requirements

By WG21 and included in 17021

By other competent bodies with WG21

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ISO/IEC 17021-1 and additional competence requirements

ISO/IEC 17021-1   generic competence requirements for any MS
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

Revision of ISO/IEC 17021

NWIP—Rationale for the revision

- The 2011 version contains the whole of the 2006 version unchanged as well as additional clauses. It is necessary to determine if the unchanged 2006 clauses need alignment with the new clauses added in 2011.

- Several interpretation requests were addressed since the publication of the standard and should be taken into consideration in any revision.

- Experience gained with the implementation of the standard has highlighted the need for clarification of some of the clauses

Revision of ISO/IEC 17021

Inputs considered

- Out-of-scope comments on revision of 2006
- CASCO interpretation requests
- IAF application documents
- APG and AAPG papers
- Outcome of WG33—ISO/IEC TS 17022
- Outcome of WG37—ISO/IEC TS 17023
- CASCO PAS documents 17001-17005
- Other CASCO documents—17020, 17024, 17065

Revision of ISO/IEC 17021

Meetings
- 27-29 November 2012
- 3-5 April 2013
- 25-27 June 2013
  - Goal of DIS not achieved
- 18-20 November 2013
  - Goal of DIS achieved
- 11-16 & 23 May 2014 DG via Webex
  - 90% affirmative but 1023 comments-164 pages
- 11-13 June 2014
  - Decision for a DIS 2
- January 2015
  - Decision for FDIS and a 2 year transition

ISO/IEC 17021-1:2015
Key changes

- Re-organization of Section 9
  - Requirements now more in order of how certification audits and services are provided by a CB

ISO/IEC 17021-1:2015
Key changes

- Improving control by CBs
  - Requirement for a CB to demonstrate effective operational control of its remote offices and personnel regardless of their organizational structure (6.2)
  - Requirement for a CB to demonstrate effective organizational control for persons making certification decisions (9.5)

ISO/IEC 17021-1:2015
Key Changes

- Allows a statement, but no mark, on product packaging (not on product) and accompanying literature that a company has a certified management system (8.3.3)

  - cannot imply the product is certified by this means

  - to include the name of the CB

ISO/IEC 17021-1:2015
Key Changes

- Defined audit time from planning to reporting (3.16)

- Defined audit duration from opening to closing meeting (3.17)

- Focused requirements for justification on audit duration (9.1.4.3)

  - Consistent with ISO/IEC TS 17023 guidelines

  - Consistent with proposed revision of IAF MD5Defining audit time

ISO/IEC 17021-1:2015
Other Changes

- Defining/Classifying nonconformities as major (3.12) and minor (3.13)

- Added one new principle for a risk-based approach (4.8)

- Adopted the approach in ISO/IEC 17065 and not require, but still allow, an impartiality committee (5.2.3)

ISO/IEC 17021-1:2015
Other Changes

- Formalized a 2 year separation as a recognized mitigation of many threats to impartiality

  - for internal audits (5.2.6)

  - for relationships with consultancies (5.2.7)

  - Persons that provide consultancy (5.2.10)

- Allowing a CB to certify another CB for a management system, except for a QMS (5.2.4)

ISO/IEC 17021-1:2015
Other Changes

- Adopted the approach in ISO/IEC 17024 regarding public information with, or without, request (8.1)

- No longer requiring a public directory of certifications

ISO/IEC 17021-1:2015
Other Changes

- New requirement for consideration of shifts in the audit program (9.1.3.5)

- New requirement on transfers requiring a CB to obtain and retain sufficient evidence such as reports and documentation on corrective actions for prior nonconformities(9.1.3.4)

- New requirement to plan for adequate auditing when certifying to multiple management systems standards (9.1.6)

ISO/IEC 17021-1:2015
Other Changes

- If a CB is unable to verify effective correction and corrective action 6 months after an initial audit, another Stage 2 shall be conducted (9.5.3.2)

- Based on the change above, changed the requirement for the first surveillance audit after initial certification to be 12 months after the initial certification decision date (9.1.3.3)

ISO/IEC 17021-1:2015
Other Changes

- When recertification is completed prior to expiration, the expiration date can be based on the existing certification (so certification may be longer than 3 years) (9.6.3.2.3)

- If the recertification audit is not completed, or any major nonconformity not verified, by the expiration date, then recertification cannot be recommended and the validity of the certification cannot be extended (9.6.3.2.4)

- Six months allowed for recertification following expiration of certification; otherwise, a Stage 2 shall be conducted (9.6.3.2.5)

Significant Proposed Revisions
of ISO/IEC 17021

- New requirement for the audit report requiring a statement of the conformity and effectiveness of the MS (9.4.8.3)
  - from consideration of ISO/IEC TS 17022:2012 Conformity assessment—Requirements and recommendations for content of a third-party audit report on management systems

Significant Proposed Revisions
of ISO/IEC 17021

- Normative Annex A revised to include expanded statements explaining competence requirements
  - similar to approach in ISO/IEC TS 17021-2 or -3
  - Eliminated the X and X+