

# ISO/IEC 17021:2011 COMPETENCE

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## Competence

### **3 *Terms and definitions***

#### **3.7 *competence***

***ability to apply knowledge and skills to achieve intended results***

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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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### 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. Competence is the demonstrated ability to apply knowledge and skills.**

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## Competence

### ***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***

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## Competence

### ***7.1.2 Determination of competence criteria***

- ***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

knowledge and skills	Certification functions	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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### ***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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## Competence

### ***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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## Competence

### ***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***

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### **7.1.3 Evaluation processes**

- ***CB shall demonstrate that its evaluation methods are effective***
- ***Output shall be to identify personnel who have demonstrated the level of competence required***
- ***Note: informative Annex B for possible evaluation methods***
- ***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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### ***7.2.4 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***
- ***Deleted “applicable personal attributes”***
- ***Added a note referring to Annex D for desired personal behaviors instead of required personal attributes***

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### ***Informative Annex D—Desired personal behaviors***

- ***Ethical***
- ***Open-minded***
- ***Diplomatic***
- ***Collaborative***
- ***Observant***
- ***Perceptive***
- ***Versatile***



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### ***Informative Annex D—Desired personal behaviors***

- ***Tenacious***
- ***Decisive***
- ***Self-reliant***
- ***Professional***
- ***Morally courageous***
- ***Organized***

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**7.2.5 The certification body shall have a process to achieve and demonstrate effective auditing, including the use of auditors and audit team leaders possessing generic auditing skills and knowledge, as well as skills and knowledge appropriate for auditing in specific technical areas. This process shall be defined in documented requirements drawn up in accordance with the relevant guidance provided in ISO 19011.**

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**7.2.11 The documented monitoring procedures for auditors shall include a combination of on-site observation, review of audit reports and feedback from clients or from the market and shall be defined in documented requirements drawn up in accordance with the relevant guidance provided in ISO 19011. This monitoring shall be designed in such a way as to minimize disturbance to the normal processes of certification, especially from the client's viewpoint.**