

**TECHNICAL
SPECIFICATION**

**ISO/IEC TS
17021-13**

First edition
2021-12

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

Part 13:

**Competence requirements for
auditing and certification of
compliance management systems**



Reference number
ISO/IEC TS 17021-13:2021(E)

© ISO/IEC 2021



COPYRIGHT PROTECTED DOCUMENT

© ISO/IEC 2021

All rights reserved. Unless otherwise specified, or required in the context of its implementation, 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
CP 401 • Ch. de Blandonnet 8
CH-1214 Vernier, Geneva
Phone: +41 22 749 01 11
Email: copyright@iso.org
Website: www.iso.org

Published in Switzerland

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 CMS audit teams | 2 |
| 5.1 General..... | 2 |
| 5.2 Context of the organization..... | 2 |
| 5.3 Laws, regulations and other requirements..... | 2 |
| 5.4 Compliance risk assessment and controls..... | 2 |
| 5.5 Compliance management systems (CMS)..... | 3 |
| 6 Competence requirements for other personnel | 3 |
| 6.1 General..... | 3 |
| 6.2 Context of the organization..... | 3 |
| Annex A (informative) Knowledge for CMS auditing and certification | 4 |
| Bibliography | 5 |

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.

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 or www.iec.ch/members_experts/refdocs).

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) or the IEC list of patent declarations received (see <https://patents.iec.ch>).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation of 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 www.iso.org/iso/foreword.html. In the IEC, see www.iec.ch/understanding-standards.

This document was prepared by the ISO Committee on Conformity Assessment (CASCO), in collaboration with the ISO Technical Committee ISO/TC 309, *Governance of organizations*.

A list of all parts in the ISO/IEC 17021 series can be found on the ISO and IEC websites.

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at www.iso.org/members.html and www.iec.ch/national-committees.

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, Annex A. The guiding principles in ISO/IEC 17021-1:2015, Clause 4, are the basis for the requirements in this document.

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 relevant competence are allowed to conduct compliance management system (CMS) audits. It is intended that all personnel involved in CMS auditing and certification possess the generic competencies described in ISO/IEC 17021-1, as well as the specific CMS competencies described in this document. Certification bodies will need to identify the specific audit team competence needed for the scope of each CMS audit.

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.

[This is a preview - click here to buy the full publication](#)

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

Part 13:

Competence requirements for auditing and certification of compliance management systems

1 Scope

This document specifies the competence requirements for personnel involved in the audit and certification process for compliance management systems (CMS). It complements the existing requirements of ISO/IEC 17021-1.

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/IEC 17021-1:2015, *Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 1: Requirements*

ISO 37301:2021, *Compliance management systems — Requirements with guidance for use*