

Australian Standard[®]

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

STANDARDS
Australia



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- Association of Accredited Certification Bodies
 - Australian Information Industry Association
 - Certification Interests (Australia)
 - Consumers' Federation of Australia
 - International Accreditation Forum
 - Joint Accreditation System of Australia and New Zealand
 - National Association of Testing Authorities Australia
-

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PREFACE

This Standard was prepared by the Standards Australia Committee QR-010, Conformity Assessment.

The objective of this Standard is to specify principles and requirements for the competence, consistency and impartiality of the audit and certification of management systems of all types (e.g. quality management systems or environmental management systems) and for bodies providing these activities.

This Standard is identical with, and has been reproduced from ISO/IEC 17021:2006, *Conformity assessment—Requirements for providing audit and certification of management systems*.

As this Standard is reproduced from an International Standard, the following applies:

- (a) Its number does not appear on each page of text and its identity is shown only on the cover and title page.
- (b) In the source text ‘ISO/IEC 17021’ should read ‘AS ISO/IEC 17021’.
- (c) A full point should be substituted for a comma when referring to a decimal marker.
- (d) Any French text on figures should be ignored.

References to International Standards should be replaced by references to Australian or Australian/New Zealand Standards, as follows:

<i>Reference to International Standard</i>		<i>Australia Standard</i>	
ISO		AS/NZS ISO	
9000	Quality management systems— Fundamentals and vocabulary	9000	Quality management systems— Fundamentals and vocabulary
19011	Guidelines for quality and/or environmental management systems auditing	19011	Guidelines for quality and/or environmental management systems auditing
ISO/IEC		AS ISO/IEC	
17000	Conformity assessment— Vocabulary and general principles	17000	Conformity assessment— Vocabulary and general principles

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INTRODUCTION

Certification of a management system, such as a quality or environmental 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, in line with its policy.

This International Standard specifies requirements for 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 International Standard 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, and
- c) is effectively implemented.

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

In this International Standard, Clause 4 describes the principles on which credible certification is based. These principles help the reader to understand the essential nature of certification and they are a necessary prelude to Clauses 5 and 6. These principles underpin all the requirements in this International Standard, 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 of this International Standard through the establishment of a management system by the certification body.

This International Standard is intended for use by bodies that carry out audit and certification of management systems. It gives generic requirements for such certification bodies performing audit and certification in the field of quality, environmental and other forms of management systems. Such bodies are referred to as certification bodies. This wording should not be an obstacle to the use of this International Standard by bodies with other designations that undertake activities covered by the scope of this document.

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 normally a certification document or a certificate.

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STANDARDS AUSTRALIA

Australian Standard**Conformity assessment—Requirement for bodies providing audit and certification of management systems**

1 Scope

This International Standard contains principles and requirements for the competence, consistency and impartiality of the audit and certification of management systems of all types (e.g. quality management systems or environmental management systems) and for bodies providing these activities. Certification bodies operating to this International Standard need not offer all types of management system certification.

Certification of management systems (named in this International Standard “certification”) is a third-party conformity assessment activity (see ISO/IEC 17000:2004, 5.5). Bodies performing this activity are therefore third-party conformity assessment bodies (named in this International Standard “certification body/bodies”).

NOTE 1 Certification of a management system is sometimes also called “registration” and certification bodies are sometimes called “registrars”.

NOTE 2 A certification body can be non-governmental or governmental (with or without regulatory authority).

NOTE 3 This International Standard can be used as a criteria document for accreditation or peer assessment or other audit processes.

2 Normative references

The following referenced documents are indispensable for the application 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 9000:2005, *Quality management systems — Fundamentals and vocabulary*

ISO 19011:2002, *Guidelines for quality and/or environmental management systems auditing*¹⁾

ISO/IEC 17000:2004, *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

1) References in this document to the relevant guidance in ISO 19011 apply to the auditing of all other types of management systems.