



**INSTITUTE FOR ACCREDITATION OF THE
REPUBLIC OF NORTH MACEDONIA**

**COMPETENCY REQUIREMENTS FOR AUDITORS AND
CERTIFICATION PERSONNEL OF QUALITY
MANAGEMENT SYSTEMS ISO 9001 (QMS) AND
ENVIRONMENTAL MANAGEMENT SYSTEMS ISO 14001
(EMS) AND OCCUPATIONAL HEALTH AND SAFETY
MANAGEMENT SYSTEMS (OH&SMS)**

PR 03 - 05



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1. PURPOSE

The purpose of this procedure, approved by the Director of the IARNM on the basis of Article 23 of the Statute is to lay down the requirements which are to be fulfilled by **Auditors and Certification Personnel of Quality Management Systems ISO 9001 (QMS) and Environmental Management Systems ISO 14001 (EMS) and Occupational Health and Safety Management Systems ISO 45001 (OH&SMS)**.

2. SCOPE

This procedure shall address the **auditors and certification personnel of Quality Management Systems ISO 9001 (QMS) and Environmental Management Systems ISO 14001 (EMS) and Occupational Health and Safety Management Systems ISO 45001 (OH&SMS)** and shall be applied by the IARNM assessors during the assessment of management system certification bodies.

3. TERMS AND DEFINITIONS

Scope of accreditation: The scope of accreditation of a management system certification body is defined by the respective management system ISO 9001 (QMS), ISO 14001 (EMS), ISO 45001 (OH&SMS). The standard which defines the audit and certification competency requirements, MKC EN ISO/IEC 17021-3:2019, MKC EN ISO/IEC 17021-2:2019, MKTC ISO/IEC TS 17021-10:2020 and the scope/technical area, IAF-codes in accordance with IAF ID 1:2020 and the relevant IAF and NACE-codes rev. 2.

Technical area (ISO/IEC 17021-1) is applied differently depending on the management system standard being considered. For any management system, the term is related to products, processes and services in the context of the scope of the management system standard.

Technical area for QMS- pertains to the processes necessary to meet the expectations of interested parties and the applicable statutory and regulatory requirements for the organization's products and services.

Technical area EMS –an area characterized by commonalities of processes relevant to the environmental management system and its intended results.

Technical area OH&SMS –an area characterized by common processes relevant to the occupational health and safety management system and its intended results.

4. COMPETENCE REQUIREMENTS FOR AUDITORS AND CERTIFICATION PERSONNEL

Pursuant to MKC EN ISO/IEC 17021-1:2016 the certification body must define the competence for each technical area and for each function of the certification activity (item 7.1.2).

4.1. COMPETENCE REQUIREMENTS FOR MANAGEMENT SYSTEMS AUDITORS

General:

MKC EN ISO/IEC 17021-1: 2016 (ANNEX A1)

A.2.1 Knowledge of business management practices

Knowledge of general organization types, size, governance, structure and work place practices, information and data systems, documentation systems, and information technology.

A.2.2 Knowledge of audit principles, practices and techniques

Knowledge of generic management systems audit principles, practices and techniques, as specified in this standard sufficient to conduct certification audits and to evaluate internal audit processes.



A.2.3 Knowledge of specific management system standards/normative documents

Knowledge of the management system standard or other normative documents being specified for certification sufficient to determine if it has been effectively implemented and conforms to requirements.

A.2.4 Knowledge of certification body's processes

Knowledge of a certification body's processes sufficient to perform in accordance with the certification body's procedures and processes.

A.2.5 Knowledge of client's business sector

Knowledge of the terminology, practices and processes common to a client's business sector sufficient to understand the sector's expectations in the context of the management system standard or other normative document.

NOTE A business sector is understood to be economic activities (e.g. aerospace, chemical, financial services).

A.2.6 Knowledge of client products, processes and organization

Knowledge related to the types of products or processes of a client sufficient to understand how such an organization can operate, and how the organization can apply the requirements of the management system standard or other relevant normative document.

A.2.7 Language skills appropriate to all levels within the client organization

Capable of communicating effectively to persons at any level of an organization using appropriate terms, expressions and speech.

A.2.8 Note-taking and report-writing skills

Capable of reading and writing with sufficient speed, accuracy and comprehension to record, take notes, and effectively communicate audit findings and conclusions

A.2.9 Presentation skills

Capable of presenting audit findings and conclusions to be easily understood. For the team leader, presenting in a public forum (e.g. closing meeting) audit findings, conclusions, and recommendations appropriate to the audience.

A.2.10 Interviewing skills

Capable of interviewing to obtain relevant information by asking open-ended, well formulated questions and listening to understand and evaluate the answers.

A.2.11 Audit-management skills

Capable of conducting and managing an audit to achieve the audit objectives within the agreed timeframe. For the team leader, capable of facilitating meetings for the effective exchange of information and capable of making assignments or re-assignments where necessary.

In detail:

QMS

Defined in point 5 of

MKC EN ISO_IEC 17021-3:2019

EMS

Defined in point 5 and 6 of

MKC EN ISO_IEC 17021-2:2019

OH&SMS

Defined in point 5 of

MKTC ISO/IEC TS 17021-10:2020

4.2 COMPETENCE REQUIREMENTS FOR PERSONNEL REVIEWING AUDIT REPORTS AND MAKING CERTIFICATION DECISIONS



General:

MKC EN ISO/IEC 17021-1: 2016 (ANNEX A1)

The functions can be carried out by one or more persons.

A.3.1 Knowledge of audit principles, practices and techniques

Knowledge of generic management systems audit principles, practices and techniques, as specified in this standard sufficient to understand a certification audit report.

A.3.2 Knowledge of specific management system standards/normative documents

Knowledge of the management system standard or other normative documents being specified for certification sufficient to make a decision on the basis of a certification audit report.

A.3.3 Knowledge of certification body's processes

Knowledge of a certification body's processes sufficient to determine if expectations of the certification body have been fulfilled on the basis of the information submitted for review.

e) scopes and their applicability to an organization's QMS.

A.3.4 Knowledge of client's business sector

Knowledge of the terminology, practices and processes common to a client's business sector sufficient to understand an audit report in the context of the management system standard or other normative document.

In Detail:

QMS

Defined in point 6 of

MKC EN ISO_IEC 17021-3:2019

EMS

Defined in point 7.3 of

MKC EN ISO_IEC 17021-2_2019

OH&SMS

Defined in point 6 of

MKTC ISO/IEC TS 17021-10:2020

4.3 COMPETENCE REQUIREMENTS FOR PERSONNEL CONDUCTING THE APPLICATION REVIEW TO DETERMINE AUDIT TEAM COMPETENCE REQUIRED, TO SELECT THE AUDIT TEAM MEMBERS, AND TO DETERMINE THE AUDIT TIME

General:

MKC EN ISO/IEC 17021-1:2016 (ANNEX A1)

The functions can be carried out by one or more persons.

A.4.1 Knowledge of specific management system standards/normative documents

Knowledge of what management system standard or other normative documents is being specified for certification.

A.4.2 Knowledge of certification body's processes

Knowledge of a certification body's processes sufficient to assign competent audit team members and accurately determine audit time.

A.4.3 Knowledge of client's business sector

Knowledge of the terminology, practices and processes common to a client's business sector sufficient to assign competent audit team members and accurately determine audit time.

A.4.4 Knowledge of client products, processes and organization



Knowledge related to the types of products or processes of a client sufficient to assign competent audit team members and accurately determine audit time.

In detail

EMS

Defined in point 7.2 of

MKC EN ISO/IEC 17021-2:2019:

OH&SMS

Defined in point 7 of

MKTC ISO/IEC TS 17021-10:2020

5. CRITERIA FOR APPOINTMENT AND ASSIGNMENT OF AUDITORS AND CERTIFICATION PERSONNEL

5.1 Initial appointment

According to item 7.1.2 of ISO/IEC 17021-1, the certification body is responsible to determine the competency criteria for each type of management system, each technical area and each function in the certification process, as well as to document the necessary knowledge and skills. Annex B of ISO/IEC 17021-1 provides examples of competency evaluation methods for initial competency assessment and ongoing monitoring of the competencies and performance of all personnel involved in the management and implementation of audits and other certification activities.

Pursuant to item 7.1.3 of ISO/IEC 17021-1, there must be a process for determining and maintaining competence. The result of the process is documented criteria for the required knowledge and skills for the effective performance of the audit and certification tasks, which need to be met in order to achieve the planned results. Annex C of ISO/IEC 17021-1 shows an example of the process of determining and maintaining competence, which should be applied by certification bodies.

The system for determining the competence of the certification body must be supplemented with competency criteria, i.e. knowledge and skills in methodological, organizational and technical areas in accordance with Annex A1 from ISO/IEC 17021-1 and ISO/IEC 17021-3, ISO/IEC 17021-2_6 and ISO/IEC TS 17021-10.

The certification body must provide evidence of the appointment and classification of auditors and personal files for each person involved in the certification process (item 7.4.).

For each of the management systems, the certification body must determine their competence for the technical areas (IAF/NACE codes).

For the first appointment/authorization of auditors, technical experts, application reviewers and certifiers, criteria and requirements must be defined by the certification body and there must be available proof of: qualification (education, professional experience and technical experience, knowledge of MS), training on management system standards), as well as proof of knowledge of the certification body management system, the IARNM and IAF mandatory documents, proof of previous participation in audits, supervision of the auditor's work, participation in knowledge exchange, team leadership competencies, team work competencies, technical area competencies, taking into account the specifics of each management system in terms of technical areas (Risk Classes, System Complexity, Environmental Aspects and Impacts - EMS, common occupational health and safety hazards - OH&SMS (IAF MD 5, IAF MD 22).

Auditors are usually appointed for a maximum of three years, after which the appointment must be reexamined and possibly renewed.

5.2 Appointing a team leader/member and decision makers for each audit



Pursuant to item 9.1.2.3 and item 9.9.2 of ISO/IEC 17021-1 for each accepted application for certification, prior to audit, the certification body must determine the competencies it should include in its audit team and the decision on certification. The certification body must have a selection and appointment process for the audit team, including the team leader and technical experts, if necessary, taking into account the necessary competence to achieve the audit objectives and the impartiality requirements (IAF MD 5, IAF MD 11).

Reference documents:

- MKC EN ISO/IEC 17021-1:2016 Conformity assessment — Requirements for bodies providing audit and certification of management systems —
Part 1: Requirements
- MKC EN ISO/IEC 17021-2:2019 Conformity assessment — Requirements for bodies providing audit and certification of management systems —
Part 2: Competence requirements for auditing and certification of environmental management systems
- MKC EN ISO/IEC 17021-3:2019 Conformity assessment — Requirements for bodies providing audit and certification of management systems —
Part 3: Competence requirements for auditing and certification of quality management systems
- MKTC ISO/IEC TS 17021-10:2020 Conformity assessment - Requirements for bodies providing audit and certification of management systems – Part 10: Competence requirements for audit and certification of occupational health and safety management systems
- IAF MD 5 Determination of audit time of quality, environmental and occupational health and safety management systems
- IAF MD 11 IAF Mandatory document for the application of ISO/IEC 17021-1 for audits of integrated management systems
- IAF MD 22 Application of ISO/IEC 17021-1 for certification of occupational health and safety management systems (OH&SMS)