Draft Technical Specification (DTS) ISO/IEC 17021-12

Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 12: Competence requirements for auditing and certification of collaborative business relationship management systems

Contents

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. In the field of conformity assessment, ISO and IEC develop joint ISO/IEC documents under the management of the ISO Committee on Conformity assessment (ISO/CASCO).

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).

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).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement. For an explanation on the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the WTO principles in the Technical Barriers to Trade (TBT) see the following URL: Foreword - Supplementary information.

ISO/IEC TS 17021-12 was prepared by the ISO Committee on Conformity Assessment (CASCO). It was circulated for voting to the national bodies of both ISO and IEC, and was approved by both organizations.

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

Introduction

ISO 44001 sets out a coherent framework for collaborative business relationship management. Personnel certifying the management system for collaborative business relationship (CBRMS) need to have generic competencies described in ISO/IEC 17021-1:2015, as well as the specific management system competencies described in this document.

This document complements the requirements in ISO/IEC 17021-1:2015 and the guiding principles in ISO/IEC 17021-1:2015, clause 4. 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.

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 the relevant competence are allowed to conduct collaborative business relationship management system (CBRMS) audits.

Certification bodies will identify the specific audit team competence necessary for the scope of each audit. When developing the competence criteria, certification bodies recognise the importance of the number and maturity of relationships, together with the complexity of the arrangements and the iterative nature of the requirements throughout the lifecycle of the relationships.

This document is applicable for auditing and certification of a CBRMS based on ISO 44001. The aim of this document is to:

— establish a consistent approach to certification body assessments and certifications to ISO 44001;

— provide common perspective to the rigour of assessment activities to ensure assessed management systems support the themes promoted by the standard;

— identify the collaborative ethos which underpins the requirements of ISO 44001 so providing major client organisations and industry at large the opportunity to recognise a validated common approach and the integrity of the certification process.

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.

For the purposes of research, users are encouraged to share their views on this document and their priorities for changes to future editions. Click on the link below to take part in the online survey:
(CASCO Secretariat to insert the link at a later stage)

Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 12: Competence requirements for auditing and certification of collaborative business relationship management systems

1 Scope

This document specifies additional competence requirements for personnel involved in the audit and certification process of collaborative business relationship management systems (CBRMS) and 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 44001: 2017 *Collaborative business relationship management systems — Requirements and framework*

ISO/TR 44000: *Principles for successful collaborative business relationship management*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 44001 and ISO/IEC 17021-1 apply. ISO and IEC maintain terminological databases for use in standardization at the following addresses:

— ISO Online browsing platform: available at https://www.iso.org/obp

— IEC Electropedia: available at http://www.electropedia.org/

4 Generic competence requirements

The certification body shall define the competence requirements for each certification function as referenced in ISO/IEC 17021-1:2015, Table A.1. When defining these competence requirements, the certification body shall take into account all the requirements specified in ISO/IEC 17021-1, as well as those specified in Clauses 5, 6 and 7 of this document.

NOTE 1 Annex A provides an overview of the competence requirements for personnel involved in specific certification functions.

NOTE 2 ISO 19011 provides information on the principles of auditing.

5 Competence requirements for CBRMS auditors

5.1 General

All personnel involved in CBRMS auditing shall have the generic competence described in ISO/IEC 17021-1 and the CBRMS knowledge described in 5.2 to 5.10.

NOTE 1 It is not necessary for each auditor in the audit team to have the same competence, however the collective competence of the audit team needs to be sufficient to achieve the audit objectives.

NOTE 2   An audit team can consist of one or more persons.

5.2 Collaborative business relationship management premise, terminology, principles, practices and techniques

Personnel involved in CBRMS auditing shall have knowledge and understanding of:

a)   collaborative business relationship (CBR) management and the interrelated nature of the principles as outlined in ISO/TR 44000;

b)   the nature and drivers of collaborative relationships (see Annex F, ISO 44001) and the way they are implemented and managed;

c)   the complexity and interdependency of relationships and

d)   the CBR management terminology.

5.3 Collaborative leadership

Personnel involved in CBRMS auditing shall have knowledge and understanding of principles used for effective collaborative leadership.

5.4 Visions and values

Personnel involved in CBRMS auditing shall have knowledge and understanding of the impact of the visions and values of the organizations on the effectiveness of the collaboration.

5.5 Collaborative behaviour

Personnel involved in CBRMS auditing shall have knowledge and understanding of skills and processes that facilitate the collaborative behaviour.

5.6 Trust and commitment

Personnel involved in CBRMS auditing shall have knowledge and understanding of the influence of trust and commitment on collaborative business relationships.

5.7 Information and knowledge sharing

Personnel involved in CBRMS auditing shall have knowledge and understanding of the effects of information and knowledge management on collaborative business relationships.

5.8 Risk management

Personnel involved in CBRMS auditing shall have knowledge and understanding of the risk management within the context of the lifecycle of collaborative relationships.

5.9 Exit strategy

Personnel involved in CBRMS auditing shall have knowledge to understand the impact of the exit strategy on organizations and throughout the lifecycle of the collaborative relationships.

5.10 Contractual arrangements

Personnel involved in CBRMS auditing shall have knowledge of collaborative arrangements and related contractual arrangements that can impact collaboration.

6 Competence of personnel reviewing audit reports and making certification decisions

6.1 Collaborative business relationship management premise, terminology, principles, practices and techniques

Personnel reviewing audit reports and making certification decisions shall have knowledge and understanding of:

a) the CBR management and the interrelated nature of the principles as outlined in ISO/TR 44000;

b) the CBR management terminology.

6.2 Collaborative behaviour

Personnel reviewing audit reports and making certification decisions shall have knowledge of skills and processes that facilitate the collaborative behaviour.

6.3 Information and knowledge sharing

Personnel reviewing audit reports and making certification decisions shall have knowledge of the effects of information and knowledge management on collaborative business relationships.

6.4 Risk management

Personnel reviewing audit reports and making certification decisions shall have knowledge of the risk management within the context of the lifecycle of collaborative relationships.

6.5   Exit strategy

Personnel reviewing audit reports and making certification decisions shall have knowledge to understand the impact of the exit strategy on organizations and throughout the lifecycle of the collaborative relationships.

6.6 Contractual arrangements

Personnel reviewing audit reports and making certification decisions shall have knowledge of collaborative arrangements and related contractual arrangements that can impact collaboration.

7 Competence requirements for other certification personnel

7.1 Collaborative business relationship management premise, terminology, principles, practices and techniques

Personnel conducting the application review to determine the audit team competence required, to select the audit team members, and to determine the audit time shall have knowledge and understanding of the CBR management terminology.

7.2 Contractual arrangements

Personnel conducting the application review to determine the audit team competence required, to select the audit team members, and to determine the audit time shall have knowledge of collaborative arrangements and related contractual arrangements that can impact collaboration.

Annex A
(informative)

Knowledge for auditing and certification of collaborative business relationship management systems

Table A.1 provides an overview of the knowledge required for auditing and certification of collaborative business relationship management systems. Table A.1 identifies the areas of knowledge for specific certification functions. The competence requirements for each function are stated in Clauses 5, 6 and 7.

Table A.1 — Knowledge for auditing and certification of collaborative business relationship management systems

Knowledge	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	Auditing and leading the audit team
Collaborative business relationship management premise, terminology, principles, practices and techniques	7.1	6.1	5.2
Collaborative leadership			5.3
Vision and values			5.4
Collaborative behaviour		6.2	5.5
Trust and commitment			5.6
Information and knowledge sharing		6.3	5.7
Risk management		6.4	5.8
Exit strategy		6.5	5.9
Contractual arrangements	7.2	6.6	5.10

BIBLIOGRAPHY

ISO 44002, *Collaborative business relationship management systems — Guidelines on the implementation of ISO 44001*

ISO 19011, *Guidelines for auditing management systems*

ISO 10667-1, *Assessment service delivery — Procedures and methods to assess people in work and organizational settings — Part 1: Requirements for the client*

ISO 10667-2, *Assessment service delivery — Procedures and methods to assess people in work and organizational settings — Part 2: Requirements for service providers*