



ISO/CASCO CLARIFICATION REQUEST FORM

Date of submission: 2022/06/27

1. Requesting ISO Member or A liaison member: IIOC
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5. Please specify the ISO/CASCO document by name and number (ISO/IEC 17XXX) and clause number: ISO/IEC 17021-1:2015 and clauses 7.2.9, 7.2.10, 7.2.11
6. Clarification request, please formulate the request clearly and where possible in a format that enables a YES or NO answer: The clauses of the ISO/IEC 17021-1:2015 are specifying the following requirements 7.2.9 The certification body shall ensure the satisfactory performance of all personnel involved in the audit and other certification activities. There shall be a documented process for monitoring competence and performance of all persons involved, based on the frequency of their usage and the level of risk linked to their activities. In particular, the certification body shall review and record the competence of its personnel in the light of their performance in order to identify training needs 7.2.10 The certification body shall monitor each auditor considering each type of management system to which the auditor is deemed competent. The documented monitoring process for auditors shall include a combination of on-site evaluation, review of audit reports and feedback from clients or from the market. 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 7.2.11 The certification body shall periodically evaluate the performance of each auditor on-site. The frequency of on-site evaluations shall be based on need determined from all monitoring information available. Based on the above requirements it is clear that: <ul style="list-style-type: none">• The CAB shall define a documented process for on-going monitoring of competence and performance (ref. 7.1.3)• A risk-based approach is to be defined in this respect including an evaluation of the frequency of their involvement in their defined activities (e.g., auditors)• The CAB shall monitor each auditor "considering" each type of management system (standard or scheme) including a combination of evaluation methods (7.2.10 – examples in Annex B)• The evaluation of the performance of each auditor on-site and its frequency in particular, is based on the need determined from all the monitoring information available (7.2.11 connected with 7.2.10) Other possible considerations to be made are the following: <ul style="list-style-type: none">• The monitoring activities required by 7.2.10 are standard/scheme specific aimed to evaluate on-going competence of auditors using different evaluations methods and on-site evaluation can be

one of those

- The requirements of 7.2.11 are not standard/scheme specific as the aim here is to evaluate the on-going performance of an auditor conducting an audit (e.g., interacting with the customer, conducting the interviews, conducting opening/closing meeting, clarity in presenting the findings etc.)

So, it is always important to evaluate the documented monitoring process established by a CAB and its implementation to determine its effectiveness to reach the defined objectives.

The main questions are:

- 1) Is the intent of the standard that the **on-site evaluation** is performed for each auditor and for each type of management system to which the auditor is deemed competent? (YES/NO and related rationale)
- 2) As **competence** (i.e., knowledge + skills) is **different** from **performance**, and the monitoring process shall be designed to evaluate both elements using a combination of monitoring methods, could be possible to clarify what is the intent of the standard when performance is indicated but not defined as such? What performance contains as elements to be evaluated? Specific definition? (Clarification and related rationale)

7. Consensus position of the maintenance group (This section is only to be completed by the maintenance group members)

Question 1

Yes, the on-site evaluation shall be performed for each auditor.

No, the on-site evaluation for an auditor does not need to be conducted for each type of management system for which the auditor is deemed competent. However the totality of the monitoring activities (a combination of various methods/means of monitoring) shall demonstrate that the auditor is monitored for all types of management systems for which the auditor is deemed competent.

Question 2

ISO 19011:2018 defines competence as ability to apply knowledge and skills to achieve intended results. ISO 19011:2018 defines performance as measurable result, noting that (1) performance can relate either to quantitative or qualitative findings and (2) performance can relate to the management of activities, processes, products, services, systems or organizations.

The standard requires monitoring of both competence and performance for all personnel involved in the audit and other certification activities. Performance is related to how the service (audit and other certification activities) is delivered, and provides a measure of the effectiveness of the audit. The standard does not prescribe specific elements to be evaluated for performance, but rather indicates that performance shall be evaluated, leaving the certification body to define its process for monitoring competence and performance.

Send the filled form to casco@iso.org
