
**Educational organizations —
Requirements for bodies providing
audit and certification of educational
organizations' management systems**

*Organismes d'éducation/formation — Exigences pour les organismes
procédant à l'audit et à la certification des systèmes de management
des organismes d'éducation/formation*

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Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

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 ISO 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).

ISO draws attention to the possibility that the implementation of this document may involve the use of (a) patent(s). ISO takes no position concerning the evidence, validity or applicability of any claimed patent rights in respect thereof. As of the date of publication of this document, ISO had not received notice of (a) patent(s) which may be required to implement this document. However, implementers are cautioned that this may not represent the latest information, which may be obtained from the patent database available at www.iso.org/patents. ISO shall not be held responsible for identifying any or all such patent rights.

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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.

This document was prepared by Technical Committee ISO/TC 232, *Education and learning services*, in collaboration with the ISO Committee on Conformity Assessment (CASCO).

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.

Introduction

Certification of the educational organization management systems (EOMS) of an organization is one means of providing assurance that the organization has implemented a system for the management of its educational services in line with its policy.

Requirements for an EOMS can originate from a number of sources. This document has been developed to assist in the certification of EOMS that fulfil the requirements of ISO 21001. The contents of this document can also be used to support certification of EOMS that are based on other sets of specified EOMS requirements.

This document is intended for use by bodies that carry out audit and certification of EOMS by providing generic requirements for such bodies. Such bodies are referred to as certification bodies. This wording is not intended to be an obstacle to the use of this document by bodies with other designations that undertake activities covered by the scope of this document. This document is intended to be used by anybody involved in the audit of EOMS. It can also be used to support other types of educational organization certifications based on a combination of ISO/IEC 17021-1, ISO/IEC 17024 and ISO/IEC 17065.

Certification activities involve the audit of an organization's EOMS. The form of attestation of conformity of an organization's EOMS to a specific EOMS standard (e.g. ISO 21001) or other specified requirements is normally a certification document or a certificate.

It is for the organization being certified to develop its own management systems (e.g. EOMS in accordance with ISO 21001, other sets of specified EOMS requirements, quality management systems, environmental management systems or occupational health and safety management systems) and, other than where relevant legislative requirements specify to the contrary, it is for the organization to decide how the various components of these will be arranged. The degree of integration between the various management system components will vary from organization to organization. It is, therefore, appropriate for certification bodies that operate in accordance with this document to consider the culture and practices of their clients with respect to the integration of their EOMS in the organization.

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Educational organizations — Requirements for bodies providing audit and certification of educational organizations' management systems

1 Scope

This document defines the rules applicable to the audit and certification of educational organization management systems (EOMS) conforming to the requirements given in ISO 21001 (or other sets of specified EOMS requirements). It also provides the necessary information and confidence to customers about the way certification of their suppliers has been granted.

Certification of EOMS is a third-party conformity assessment activity (as described in ISO/IEC 17000:2020, 4.5), and bodies performing this activity are third-party conformity assessment bodies.

NOTE 1 This document can be used as a criteria document for the accreditation or peer assessment of certification bodies which seek to be recognized as being competent to certify that an EOMS conforms to ISO 21001. It is also intended to be used as a criteria document by regulatory authorities and industry consortia which engage in direct recognition of certification bodies to certify that an EOMS conforms to ISO 21001. Some of its requirements could also be useful to other parties involved in the conformity assessment of such certification bodies, and in the conformity assessment of bodies that undertake to certify the compliance of EOMS with criteria additional to, or other than, those in ISO 21001.

NOTE 2 Certification of an EOMS according to ISO 21001 is a management system certification, not a product certification.

NOTE 3 ISO 21001 is a standalone management system standard, not a sector application of ISO 9001.

The concepts and requirements of this document can be used to support certification schemes in other standards for education, such as EQAVET (European Quality Assurance in Vocational Education and Training) and ENQA-ESG (European Association for Quality Assurance in Higher Education, Standards and guidelines for quality assurance in the European Higher Education Area).

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 17000:2020, *Conformity assessment — Vocabulary and general principles*

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

ISO 21001:2018, *Educational organizations — Management systems for educational organizations — Requirements with guidance for use*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO/IEC 17000, ISO/IEC 17021-1 and ISO 21001 and the following apply.

ISO and IEC maintain terminology databases for use in standardization at the following addresses:

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

— IEC Electropedia: available at <https://www.electropedia.org/>

3.1 virtual site

digital space where an educational organization performs work or provides educational products and services using an online environment allowing persons, irrespective of their locations, to execute processes

Note 1 to entry: Where the processes are executed in a physical environment, for example physical testing and computing laboratories, libraries, sports facilities, dormitories or food service, the site cannot be considered as a virtual site.

Note 2 to entry: An example of such a virtual site is a learning management platform with all employees performing work located remotely, working in a cloud environment.

Note 3 to entry: A virtual site (e.g. learning management system, organization intranet) is considered a single site for the calculation of audit time.

[SOURCE: Adapted from IAF MD5:2019]

3.2 organization

person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its objectives

Note 1 to entry: The concept of organization includes, but is not limited to, sole-trader, company, corporation, firm, enterprise, authority, partnership, charity or institution, or part or combination thereof, whether incorporated or not, public or private.

[SOURCE: ISO 21001:2018, 3.1]

3.3 effectiveness

extent to which planned activities are realized and planned results are achieved

[SOURCE: ISO 21001:2018, 3.6]

3.4 objective

result to be achieved

Note 1 to entry: An objective can be strategic, tactical or operational.

Note 2 to entry: Objectives can relate to different disciplines (e.g. educational, financial, health and safety, environmental goals) and can apply at different levels (e.g. strategic, organization-wide, project, product, process).

Note 3 to entry: An objective can be expressed in other ways, for example as an intended outcome, a purpose, an operational criterion, an EOMS objective or by the use of other words with similar meaning (e.g. aim, goal or target).

Note 4 to entry: In the context of EOMS, EOMS objectives are set by the organization, consistent with the EOMS policy, to achieve specific results.

[SOURCE: ISO 21001:2018, 3.8]

3.5 risk

effect of uncertainty

Note 1 to entry: An effect is a deviation from the expected – positive or negative.

Note 2 to entry: Uncertainty is the state, even partial, of deficiency of information related to, understanding of or knowledge of an event, its consequence or likelihood.

Note 3 to entry: Risk is often characterized by reference to potential “events” (as defined in ISO Guide 73:2009, 3.5.1.3) and “consequences” (as defined in ISO Guide 73:2009, 3.6.1.3), or a combination of these.

Note 4 to entry: Risk is often expressed in terms of a combination of the consequences of an event (including changes in circumstances) and the associated “likelihood” (as defined in ISO Guide 73:2009, 3.6.1.1) of occurrence

[SOURCE: ISO 21001:2018, 3.9]

3.6

competence

ability to apply knowledge and skills to achieve intended results

Note 1 to entry: The ability to apply knowledge and skills means that the learner demonstrates appropriate attitudes and behaviour in different contexts or situations with responsibility and autonomy.

[SOURCE: ISO 21001:2018, 3.10]

3.7

documented information

information required to be controlled and maintained by an organization and the medium on which it is contained

Note 1 to entry: Documented information can be in any format and media, and from any source.

Note 2 to entry: Documented information can refer to:

- the management system, including related processes;
- information created in order for the organization to operate (documentation);
- evidence of results achieved (records).

[SOURCE: ISO 21001:2018, 3.11]

3.8

performance

measurable result

Note 1 to entry: Performance can relate either to quantitative or qualitative findings.

Note 2 to entry: Performance can relate to the management of activities, processes, products (including services), systems or organizations

[SOURCE: ISO 21001:2018, 3.13]

3.9

educational organization

organization whose core business is the provision of educational products and educational services

Note 1 to entry: This can include an educational organization within a larger organization whose core business is not education, such as a professional training department.

[SOURCE: ISO 21001:2018, 3.22]

3.10

educational service

process that supports acquisition and development of learners' competence through teaching, learning or research

Note 1 to entry: The service provided in a school library is an educational service when utilized in an educational context where learning how to obtain information and resources from a library is part of the curricula.

[SOURCE: ISO 21001:2018, 3.23, modified — Note to entry added.]

3.11

educational product

learning resource

tangible or intangible goods used in pedagogical support of an educational service

Note 1 to entry: Educational products can be either physical or digital and can include textbooks, workbooks, worksheets, manipulatives (e.g. blocks, beads), flashcards, educator workshops, non-fiction, books, posters, educational games, applications, websites, software, online courses, activity books, graphic novels, reference books, DVDs, CDs, magazines and periodicals, study guides, educator guides, laboratories, models, movies, television shows, webcasts, podcasts, maps and atlases, standards, technical specifications and case studies.

Note 2 to entry: Educational products can be produced by any parties, including learners.

[SOURCE: ISO 21001:2018, 3.24]

3.12

learner

beneficiary acquiring and developing competence using an educational service

[SOURCE: ISO 21001:2018, 3.25]

3.13

educator

person who performs teaching activities

Note 1 to entry: In different contexts, an educator is sometimes referred to as a teacher, a trainer, a coach, a facilitator, a tutor, a consultant, an instructor, a lecturer or a mentor.

[SOURCE: ISO 21001:2018, 3.27]

3.14

staff

persons who work for and within an organization

Note 1 to entry: Staff can be referred by different terms, such as personnel, collaborator, intern, apprentice, consultant or volunteer.

Note 2 to entry: In educational organizations, staff can be clustered according to the nature of their job roles, for example teaching, researching and non-teaching staff; administrative and support staff.

Note 3 to entry: Staff can be permanent or non-permanent.

Note 4 to entry: Non-permanent staff can be:

- a) seasonal (e.g. a part-time teacher who only teaches in the first semester, a janitor who works during the academic months but not during holiday periods, a volunteer during the registration period, data entry operators); or
- b) temporary (e.g. an invited lecturer to a once-off masterclass, a consultant subcontracted to help the organization implement a new management system, apprenticeships, traineeships, internships, fellowships).

Note 5 to entry: Staff can be full-time or part-time (e.g. a cook who only works mornings in the food service; a teacher who only teaches half of a schedule).

Note 6 to entry: Staff can have different formal agreements with the educational organization (e.g. employment contract of a teacher or a clerk, client-supplier contract of a trainer, consultant, housekeeper; memorandum of understanding for an intern, apprentice, trainee, fellow or volunteer).

[SOURCE: ISO 21001:2018, 3.36, modified — Notes to entry added.]

3.15**vision**

aspirations of an organization in relation to its desired future condition and duly aligned with its mission

[SOURCE: ISO 21001:2018, 3.30]

3.16**mission**

reason for being, mandate and scope of an organization, translated into the context in which it operates

[SOURCE: ISO 21001:2018, 3.31]

3.17**course**

distinct set of teaching and learning activities, designed to meet defined learning objectives or learning outcomes

[SOURCE: ISO 21001:2018, 3.33, modified — Note to entry removed.]

3.18**educational programme**

course or consistent set of courses leading to recognition

Note 1 to entry: Recognition can take the form of a degree, a certificate of completion, participation or achievement, a badge, diploma and other forms.

[SOURCE: ISO 21001:2018, 3.34, modified — Term and definition revised.]

3.19**skill**

set of know-how that allows a person to master an activity and succeed in accomplishing a task

Note 1 to entry: Skill can be cognitive, emotional, social or psychomotor.

[SOURCE: ISO 21001:2018, 3.41]

3.20**knowledge**

facts, information, principles or understanding acquired through experience, research or education

[SOURCE: ISO/IEC TS 17027:2014, 2.56, modified — Definition revised.]

3.21**verification**

confirmation through the provision of objective evidence, that specified requirements have been fulfilled

[SOURCE: ISO 9000:2015, 3.8.12, modified — Notes to entry removed.]

3.22**validation**

confirmation, through the provision of objective evidence, that the requirements for a specific intended use or application have been fulfilled

[SOURCE: ISO 9000:2015, 3.8.13, modified — Notes to entry removed.]

3.23

multi-site educational organization

organization having an identified central function (also referred to as a central office – but not necessarily the headquarters of the organization) at which certain EOMS activities are planned, controlled or managed, and a network of sites at which such educational services, educational products and support services are fully or partially carried out

Note 1 to entry: Examples of multi-site educational organizations are those operating:

- with franchises, for example mathematics schools, driving schools, language schools;
- in different places in the same country and/or different countries, for example with branches or campuses;
- with more than one site, which are partially or totally virtual.

3.24

non-educational service

process provided to learners, not as a part of the educational programme, that can have an impact on the conformity of the educational products and services included in the scope of certification

EXAMPLE Catering, transportation, healthcare, psychological counselling, security, career guidance, reprography, extracurricular activities (languages, sports, entertaining, community work).

Note 1 to entry: The service provided in a school library is a non-educational service in an educational context, where learning how to use a library is not part of the curricula.

3.25

scientific discipline

broad domain, branch or area of content covered by an education programme or qualification

[SOURCE: Adapted from ISCED-F 2013]

4 Principles

The principles of ISO/IEC 17021-1:2015, Clause 4, are the basis for the subsequent specific performance and descriptive requirements in this document.

5 General requirements

5.1 Legal and contractual matters

ISO/IEC 17021-1:2015, 5.1, shall be followed.

5.2 Management of impartiality

ISO/IEC 17021-1:2015, 5.2, shall be followed.

Additionally:

- a) educational services provided by the certification body shall not be offered to the educational organization being certified for a minimum of two years before or after the certification period;
- b) the staff, auditors and technical experts of certification bodies involved in the certification of an organization shall not provide any educational services in the name of the organization being certified or any part of the same legal entity.

5.3 Liability and financing

ISO/IEC 17021-1:2015, 5.3 shall be followed.

6 Structural requirements

ISO/IEC 17021-1:2015, Clause 6 shall be followed.

7 Resource requirements

7.1 Competence of personnel

7.1.1 General considerations

ISO/IEC 17021-1:2015, 7.1.1 shall be followed.

Additionally, the certification body shall also ensure that the audit team has specific and appropriate knowledge and skills relevant to the levels of education and scientific disciplines, as applicable, of the educational products and services – as well as to any other non-educational services – included in the scope of certification. The certification body shall retain documented information as evidence of its personnel competence.

NOTE 1 The levels of formal education are defined by the International Standard Classification of Education (ISCED).

NOTE 2 The scientific disciplines for higher and/or vocational education and training are defined by the International Standard Classification of Fields of Education and Training (ISCED-F).

NOTE 3 The technical areas of non-educational services are defined by the Nomenclature of Economic Activities (NACE).^[17]

NOTE 4 NACE, ISCED and ISCED-F can be considered by certification bodies to define the technical areas.

7.1.2 Determination of competence criteria

ISO/IEC 17021-1:2015, 7.1.2 shall be followed.

[Annex B](#) shall be used as a basis to develop competence criteria for all certification functions for each level and/or scientific discipline of the educational products and services and for the non-educational services. Competence criteria can be generic or specific. The competence criteria in ISO/IEC 17021-1:2015, Annex A shall be considered to be generic.

NOTE Qualification(s) and experience can be used as part of the criteria; however, competence is not based on these alone, as it is important to ensure that a person can demonstrate the ability to apply the specific knowledge and skills that they would be expected to have after completing a qualification or having a certain amount of sector experience.

7.1.3 Evaluation processes

ISO/IEC 17021-1:2015, 7.1.3 shall be followed.

Evaluation processes shall include, in particular, the certification body personnel's knowledge relating to educational products and services, including knowledge of specific information about the educational cycle (e.g. design, delivery, assessment of learning) applicable to the levels and/or scientific disciplines of the educational products and services within which the certification body personnel operate. These shall have been identified for these levels and/or scientific disciplines under the requirements of [7.1.2](#).

NOTE ISO/IEC 17021-1:2015, 7.1.3 requires the certification body to demonstrate the effectiveness of the evaluation methods used to evaluate personnel against identified competence criteria. ISO/IEC 17021-1:2015, Annex B contains five examples of methods of evaluation.

7.1.4 Other considerations

ISO/IEC 17021-1:2015, 7.1.4 shall be followed.

7.2 Personnel involved in the certification activities

7.2.1 ISO/IEC 17021-1:2015, 7.2 shall be followed.

7.2.2 On-site evaluation shall monitor the audit team performance at all education levels and scientific disciplines, as applicable, and include information about specific competences, including those related to applicable legal and regulatory requirements.

7.3 Use of individual external auditors and external technical experts

ISO/IEC 17021-1:2015, 7.3 shall be followed.

7.4 Personnel records

ISO/IEC 17021-1:2015, 7.4 shall be followed.

7.5 Outsourcing

ISO/IEC 17021-1:2015, 7.5 shall be followed.

8 Information requirements

8.1 Public information

8.1.1 ISO/IEC 17021-1:2015, 8.1 shall be followed.

8.1.2 The scope of certification described in ISO/IEC 17021-1:2015, 8.1.2 c) shall detail the educational products and services and non-educational services covered by the EOMS certified, referring to its levels and/or scientific disciplines.

8.2 Certification documents

8.2.1 ISO/IEC 17021-1:2015, 8.2 shall be followed.

8.2.2 The scope of certification identified in the certification documents [ISO/IEC 17021-1:2015, 8.2.2 f)] shall detail the educational products and services and non-educational services covered by the EOMS being certified, referring to its levels and/or scientific disciplines.

8.3 Reference to certification and use of marks

ISO/IEC 17021-1:2015, 8.3 shall be followed.

8.4 Confidentiality

ISO/IEC 17021-1:2015, 8.4 shall be followed.

8.5 Information exchange between a certification body and its clients

ISO/IEC 17021-1:2015, 8.5 shall be followed.

9 Process requirements

9.1 Pre-certification activities

9.1.1 General

ISO/IEC 17021-1:2015, 9.1 shall be followed.

9.1.2 Application

9.1.2.1 ISO/IEC 17021-1:2015, 9.1.1 shall be followed.

9.1.2.2 The certification body shall review and approve the scope of certification according to the types of products and services identified by the educational organization in its application for certification.

The certification body shall only accept certification requests from educational organizations. A partial scope (e.g. not covering all their educational products and services) can be accepted. However, the certification body shall not accept the following exclusions:

- a) any activities, processes, products or services that can have an influence on the conformity of the educational products and services included in the scope of certification proposed by the educational organization;
- b) any non-educational services which are provided to learners of the educational services and educational products included in the scope of certification proposed by the educational organization.

9.1.3 Application review

9.1.3.1 ISO/IEC 17021-1:2015, 9.1.2 shall be followed.

9.1.3.2 The certification body shall have a documented process for choosing the appropriate audit date(s) to ensure that the audit team has the opportunity of auditing the organization operating on a representative number of educational products and services and non-educational services covered by the scope of certification.

9.1.4 Audit programme

ISO/IEC 17021-1:2015, 9.1.3 shall be followed.

9.1.5 Determining audit time

9.1.5.1 ISO/IEC 17021-1:2015, 9.1.4 shall be followed.

9.1.5.2 The certification body shall have documented procedures for determining audit time. For each educational organization, the certification body shall determine the time needed to plan and accomplish a complete and effective audit of the client's EOMS. The audit time determined by the certification body, and the justification for the determination, shall be recorded.

9.1.5.3 The certification body shall use [Annex A](#) to determine audit time.

9.1.6 Multi-site sampling

9.1.6.1 General

ISO/IEC 17021-1:2015, 9.1.5 shall be followed.

9.1.6.2 Management of multi-site educational organizations

9.1.6.2.1 General

Multi-site sampling shall be used on an exceptional basis, duly justified and documented by the certification body.

When determining samples, certification bodies shall consider aspects such as risk or complexity associated with the sites, their size and the educational products and services provided.

To ensure that multi-site sampling of an educational organization, when applied to any phase of the certification cycle, is not a threat to confidence in the certification process, the criteria in the following subclauses shall be met cumulatively.

9.1.6.2.2 Eligibility of sampling

For sites to be eligible for sampling, they shall:

- a) offer the same services and products, including educational services and products, as well as non-educational services;

NOTE 1 Examples of differences in educational services can include:

- different education types (e.g. formal or non-formal);
- different formal educational levels (e.g. primary, secondary, higher education);
- different scientific disciplines (e.g. law, medicine, languages);
- different modes of delivery (e.g. distance, in presence, work-based);
- different beneficiaries (e.g. learners with different needs).

NOTE 2 Examples of differences in non-educational services can include:

- different types (e.g. food services, counselling);
- different modes of delivery (e.g. online, in presence);
- different beneficiaries (e.g. learners with different needs).

- b) operate under the same regulatory requirements;
- c) be centrally controlled and administered under the same fully implemented EOMS;
- d) be included in the internal audit programme and have been internally audited at least once before the certification audit.

9.1.6.2.3 Minimums per sample

The size of each sample shall cover at minimum one third of the total number of sites eligible for sampling.

In the case of repetitive educational services and products and/or non-educational services at the same site, at least one of each kind shall be included in the sample.

9.1.6.2.4 Mitigation of negative impact of sampling on audit programmes

All sites where sampling is not applicable shall be audited in all phases of the certification cycle. Additionally, a sample of the remaining sites shall be included. This sample shall be different at each phase of the certification cycle. All sites shall be covered in a cycle unless there are justifiable extraordinary circumstances.

9.1.6.2.5 Documented justification of samples

Documented information of the rationale used to reach each sample and of its distribution through the certification cycle shall be retained. This rationale shall evidence the fulfilment of the requirements stated in [9.1.6.2.1](#) to [9.1.6.2.4](#).

9.1.7 Multiple management system standards

ISO/IEC 17021-1:2015, 9.1.6 shall be followed

9.2 Planning audits

9.2.1 ISO/IEC 17021-1:2015, 9.2 shall be followed

9.2.2 The certification body shall require the applicant organization to provide detailed information concerning operational and academic procedures, programmes of study and, when applicable, educational products offered, as well as any other services and products offered to learners.

NOTE Other services offered to learners can be libraries, food services, dormitories, sports facilities, counselling and other healthcare services, among others.

9.3 Initial certification

9.3.1 ISO/IEC 17021-1:2015, 9.3 shall be followed.

9.3.2 The objectives of the stage 1 audit are to provide a focus for planning the stage 2 audit by gaining an understanding of the organization's EOMS and the organization's state of preparedness for stage 2 by reviewing the extent to which:

- a) the organization has adopted the principles for an EOMS that are appropriate to the type of education services provided;
- b) the EOMS includes adequate processes and methods for the identification and evaluation of the organization's educational products and services;
- c) the EOMS is designed to achieve the education organization's vision, mission and policy;
- d) the EOMS implementation programme justifies proceeding to the stage 2 audit;
- e) the EOMS includes verification and validation activities and improvement programmes conforming to the requirements of the EOMS standard;
- f) the EOMS documents and arrangements are in place to communicate internally and with learners and other beneficiaries as well as relevant interested parties;
- g) there is any additional documentation which needs to be reviewed and/or information which needs to be obtained in advance of the stage 2 audit.

Where an organization has implemented an externally developed combination of control measures, the stage 1 audit shall review the documentation included in the EOMS to determine whether the combination of control measures:

- is suitable for the organization;
- was developed in accordance with the requirements of ISO 21001 or other sets of specified EOMS requirements;
- is kept up to date.

9.3.3 The stage 1 audit, except for the document review, shall be carried out at the client's premises in order to achieve the objectives stated in 9.3.2. In exceptional circumstances, part of the stage 1 audit can take place off-site and shall be fully justified. The evidence demonstrating that stage 1 audit objectives are fully achieved shall be documented.

NOTE Examples of exceptional circumstances can include educational organizations that provide only online educational services.

9.3.4 The requirements of ISO/IEC 17021-1:2015, 9.3.1.2.3, apply. The client shall be informed that the results of the stage 1 audit could lead to postponement or cancellation of the stage 2 audit.

9.3.5 The requirements of ISO/IEC 17021-1:2015, 9.3.1.2.4 apply. The interval between stage 1 and stage 2 audits shall be determined by the certification body based on the results of the stage 1 audit.

9.3.6 Any part of the EOMS that is audited during the stage 1 audit, and determined to be fully implemented, effective and in conformity with requirements, will possibly not need to be re-audited during the stage 2 audit. However, the certification body shall ensure that the already audited parts of the EOMS continue to conform to the certification requirements. In this case, the audit report shall include these findings and shall clearly state that conformity has been audited during the stage 1 audit.

9.3.7 The purpose of stage 2 is to evaluate the implementation, including effectiveness, of the client's management system. Stage 2 shall take place at the site(s) of the client. It shall include the auditing of at least the following:

- a) information and evidence about conformity to all requirements of the applicable management system standard or other normative documents;
- b) performance monitoring, measuring, reporting and reviewing against key performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document);
- c) the client's management system ability and its performance regarding meeting applicable statutory, regulatory and contractual requirements;
- d) operational control of the client's processes;
- e) internal auditing and management review;
- f) management responsibility for the client's policies.

NOTE A site can be physical or virtual.

9.3.8 During the stage 2 audit, the audit team shall have interviews with a sample of learners and other beneficiaries, as well as other relevant interested parties, to determine how their needs and expectations are considered in the EOMS. The results of the interviews shall be documented.

9.3.9 During the stage 2 audit, the audit team needs to observe classes' delivery – in part or in total – with a sampling adapted to the diversity of educational services and learners, methods of delivery and

number of ongoing classes. Delivery of assessment of learning activities shall be observed at least once in the initial certification cycle.

NOTE For examples of different types of educational services, see [9.1.6.2.1](#) a), NOTE 1.

9.4 Conducting audits

ISO/IEC 17021-1:2015, 9.4 shall be followed.

9.5 Certification decision

ISO/IEC 17021-1:2015, 9.5 shall be followed.

9.6 Maintaining certification

ISO/IEC 17021-1:2015, 9.6 shall be followed.

9.7 Appeals

ISO/IEC 17021-1:2015, 9.7 shall be followed.

9.8 Complaints

ISO/IEC 17021-1:2015, 9.8 shall be followed.

9.9 Records of applicants and clients

ISO/IEC 17021-1:2015, 9.9 shall be followed.

10 Management system requirements for certification bodies

ISO/IEC 17021-1:2015, Clause 10 shall be followed.

Annex A (normative)

Determination of audit time

A.1 Effective staff of the EOMS

This consists of all full-time and part-time staff (educators, administrative and support staff) that are involved in the processes under the scope of certification in all shifts and all sites of the organization.

NOTE 3.1.4 can help with an accurate calculation of effective staff.

A.2 Audit time

Audit time includes:

- a) audit duration – the total time on site at the educational organization's premises (physical sites or virtual sites) from the opening meeting to the closing meeting, inclusive;
- b) audit planning and reporting – the total time off site from the educational organization, used to carry out planning activities, document review and report writing (in cases where this is not done before the closing meeting);
- c) audit travelling – the total time spent en route to or between sites.

This annex does not specify requirements for the calculation of audit planning and reporting, as these vary significantly according to the organizational culture of each certification body, or for the calculation of audit travelling, as this depends on the geographic characteristics of each audit.

A.3 Audit duration

A.3.1 Calculation of audit duration

A.3.1.1 General

The effective audit duration of an EOMS is calculated according to the following methodology. The audit duration (A) is expressed in days and calculated as follows:

$$A = (B + C + D \pm E)$$

where

- B is the basic on-site time, in days;
- C is the number of audit days for additional educational programmes (including appropriate sampling, see [9.1.6.2.1](#));
- D is the number of audit days for non-educational services (including appropriate sampling, see [9.1.6.2.1](#)) offered in the educational organization (e.g. radio station, food service, fitness service);
- E is the number of audit days per effective staff.

A.3.1.2 Increasing factors

Where additional meetings are necessary (e.g. review meetings, coordination, audit team briefing), an increase in audit duration shall be considered.

Additional factors shall be considered when reflecting on the need to increase the basic audit duration (e.g. nature of the infrastructure, such as laboratories, accommodation facilities; languages barriers; the need for a translator).

A.3.1.3 Decreasing factors

In the case of a combined audit involving the EOMS, a reduction of up to 10 % of the audit duration can be considered if justified and documented.

A.3.1.4 Person/day distribution

The number of auditors per day of the audit shall take into account the efficiency of the audit process and the effectiveness of the audit, the resources of the educational organization being audited and the resources of the certification body.

A.3.2 Initial certification audit duration

The effective initial certification audit duration of the EOMS is calculated according to [Table A.1](#).

Table A.1 — Audit duration

Audit duration <i>A</i>	=	Basic on-site time (includes one programme of study in one site ^a) <i>B</i>	+	Number of audit days for each additional educational programme (includes appropriate sampling, see 9.1.6.2.1) <i>C</i>	+	Number of audit days for each non-educational service offered to learners (includes appropriate sampling, see 9.1.6.2.1) <i>D</i>	+	Number of audit days per effective staff <i>E</i>
<i>A</i>		2 days		0,5 (if delivered in a physical site) 0,25 (if delivered in a virtual site) 0,125 (for educational programmes of less than 100 hours delivered in physical or virtual sites)		0,25		1 to 19 = 0 20 to 49 = 0,5 50 to 79 = 1,0 80 to 199 = 1,5 200 to 499 = 2,0 500 to 899 = 2,5 900 to 1 299 = 3,5 1 300 to 1 699 = 4 1 700 to 2 999 = 4,5 3 000 to 5 000 = 5 > 5 000 = 6,0

^a In educational organizations with physical sites and virtual sites, the site included in the basic on-site time is a physical site.

A.3.3 Examples of how to calculate A

A.3.3.1 University ABC

This educational organization has eight educational programmes (six delivered at a physical site and two delivered at a virtual site), two non-educational services (one fitness service and one food service) and 100 effective staff.

$$A = (B)2 + (C)0,5 \times 5 + 0,25 \times 2 + (D)0,25 \times 2 + (E)1,5$$

$$A = 7 \text{ days}$$

A.3.3.2 Kindergarten 123

This educational organization has one educational programme (kindergarten), two non-educational services (one food service and one developmental psychology service) and 16 effective staff.

$$A = (B)2 + (C)0 + (D)0,25 \times 2 + (E)0$$

$$A = 2,5 \text{ days}$$

A.3.3.3 VET school XYZ

This educational organization has 20 educational programmes (10 programmes of study EQF level 2 and 10 programmes of study EQF level 4); six non-educational services (one library, two food services, one fitness service, one psychology and vocational orientation service and one job-searching support service); 113 effective staff.

$$A = (B)2 + (C)0,5 \times 19 + (D)0,25 \times 6 + (E)1,5$$

$$A = 15,5 \text{ days}$$

A.3.3.4 Training department of XPTO company

This educational organization has four educational programmes (all programmes of study delivered in a physical site); one non-educational service (one food service); eight effective staff.

$$A = (B)2 + (C)0,5 \times 4 + (D)0,25 \times 1 + (E)0$$

$$A = 3,75 \text{ days}$$

A.3.4 Surveillance audit duration

The minimum audit duration for EOMS surveillance audits shall be one-third of the initial certification audit duration, with a minimum of 1 day.

A.3.5 Recertification audit duration

The minimum audit duration for EOMS recertification shall be two-thirds of the initial certification audit duration, with a minimum of 1,5 days.

Annex B (normative)

Specific knowledge and skills for certification functions in EOMS

B.1 Competence requirements: matrix

[Table B.1](#) specifies the relevant competence areas for staff performing activities in different phases of the EOMS certification process. The knowledge and skills required in each competence area are explained in more detail in the text following the matrix, as referenced.

Table B.1 — Competence requirements per activity or job role

Competence areas	Certification activities distributed by plan-do-check-act phase			
	Plan	Do	Check	Act
	Conducting the application review: — develop the audit programme — determine the audit time — determine the audit team competence required — select the audit team members	Auditing and leading the audit team	Reviewing audit reports and making certification decisions	
	Typical certification body staff who perform the above activities			
	Audit programme managers	Lead auditors, auditors and experts	Supervisors and members of decision boards	
	B.2.1 Knowledge of educational management practices	B.2.1	B.2.1	
	B.2.2. Knowledge of audit principles, practices and techniques			
B.2.2.1 Generic knowledge	B.2.2.1 a)	B.2.2.1 b)	B.2.2.1 c)	
B.2.2.2 Specific knowledge	B.2.2.2 a)	B.2.2.2 b)	B.2.2.2 c)	
B.2.3 Knowledge of specific standards or normative documents for educational organizations and/or conformity assessment bodies	B.2.3.1 B.2.3.2 a)	B.2.3.1 B.2.3.2 b)	B.2.3.1 B.2.3.2 c)	
B.2.4 Knowledge of certification body's processes	B.2.4 a)	B.2.4 b)	B.2.4 c)	
B.2.5 Knowledge of client's educational subsector	B.2.5 a)	B.2.5 b)	B.2.5 c)	
NOTE 1 When the activities are performed by a team, the competence requirements apply to the team and not to each of its member individually. This applies to the three job roles or certification activities listed in this table.				
NOTE 2 Risk and complexity are other considerations when deciding the level of expertise needed for any of these activities or job roles.				

Table B.1 (continued)

B.2.6 Knowledge of client's educational products and services, processes and organization	B.2.6.1 B.2.6.2 a)	B.2.6.1 B.2.6.2 b)	B.2.6.1 B.2.6.2 c)
B.2.7 Language skills appropriate to all levels within the client's educational organization		B.2.7	
B.2.8 Note-taking and report-writing skills		B.2.8	
B.2.9 Presentation skills		B.2.9	
B.2.10 Interviewing skills		B.2.10	
B.2.11 Audit-management skills		B.2.11	
NOTE 1 When the activities are performed by a team, the competence requirements apply to the team and not to each of its member individually. This applies to the three job roles or certification activities listed in this table.			
NOTE 2 Risk and complexity are other considerations when deciding the level of expertise needed for any of these activities or job roles.			

B.2 Competence requirements: details

B.2.1 Knowledge of educational management practices

Knowledge of diverse educational organization types, sizes, governance, structure and workplace practices, information and data systems, documentation systems, information technology and infrastructures. This includes knowledge of educational organizations' typical:

- decision-structures, for example pedagogic boards, scientific boards;
- regulatory and legal frameworks, for example regulated formal education, unregulated non-formal education;
- recruitment processes;
- risk-assessment methodologies;
- safety and security requirements (including food safety and information security);
- principles of social responsibility.

B.2.2 Knowledge of audit principles, practices and techniques

B.2.2.1 Generic knowledge

Knowledge of generic management systems audit principles, practices and techniques, sufficient to, as applicable:

- a) assign competent audit team members and accurately determine audit time;
- b) plan, conduct and report certification audits;
- c) analyse audit records and make reliable certification decisions.

B.2.2.2 Specific knowledge

Knowledge of specific EOMS audit practices and techniques sufficient to, as applicable:

- a) assign competent audit team members and accurately determine audit time;