

## Australian/New Zealand Standard™

### **Guidelines for quality and/or environmental management systems auditing**

### **AS/NZS ISO 19011:2003**

This Joint Australian/New Zealand Standard was prepared by Joint Technical Committee QR-006, Assessments and Audits. It was approved on behalf of the Council of Standards Australia on 31 January 2003 and on behalf of the Council of Standards New Zealand on 20 December 2002. It was published on 4 March 2003.

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# Australian/New Zealand Standard™

## **Guidelines for quality and/or environmental management systems auditing**

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## PREFACE

This Standard was prepared by the Joint Standards Australia/Standards New Zealand Committee QR-006, Assessments and Audits. It is identical with, and has been reproduced from, ISO 19011:2002, *Guidelines for quality and/or environmental management systems auditing*.

ISO 19011 was prepared jointly by the International Organization for Standardization (ISO) Technical Committee ISO/TC 207, Quality Management and Quality Assurance, Subcommittee SC 3, Supporting Technologies, and Technical Committee ISO/TC 207, Environmental Management, Subcommittee SC 3, Environmental Auditing and Related Environmental Investigations.

The Joint Standards Australia/Standards New Zealand Committees QR-006, Assessments and Audits and QR-011, Environmental Management, provided input to the Joint Working Group during preparation of this Standard. This first edition of AS/NZS ISO 19011:2002 cancels and replaces the following Joint Australian/New Zealand Standards:

AS 3911.1—1992/NZS 10011.1:1992/ISO 10011-1:1990, *Guidelines for auditing quality systems Part 1: Auditing*

AS 3911.2—1992/NZS 10011.2:1992/ISO 10011-2:1991, *Guidelines for auditing quality systems Part 2: Qualification criteria for auditors*

AS 3911.3—1992/NZS 10011.3:1992/ISO 10011-3:1991, *Guidelines for auditing quality systems Part 3: Management of audit programs*

AS/NZS ISO 14010:1996, *Guidelines for environmental auditing—General principles*

AS/NZS ISO 14011:1996, *Guidelines for environmental auditing—Audit procedures—Auditing of environmental management systems*

AS/NZS ISO 14012:1996, *Guidelines for environmental auditing—Qualification criteria for environmental auditors*

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- (a) Its number appears on the cover and title page while the international standard number appears only on the cover.
- (b) In the source text ‘this International Standard’ should read ‘this AUSTRALIAN/NEW ZEALAND Standard’.
- (c) A full point substitutes for a comma when referring to a decimal marker.

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>AUSTRALIAN/NEW ZEALAND Standard</i>
ISO	AS/NZS ISO
9000      Quality management systems—Fundamentals and vocabulary	9000      Quality management systems—Fundamentals and vocabulary
14050      Environmental management—Vocabulary	14050      Environmental management—Vocabulary

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## INTRODUCTION

The ISO 9000 and ISO 14000 series of International Standards emphasize the importance of audits as a management tool for monitoring and verifying the effective implementation of an organization's quality and/or environmental policy. Audits are also an essential part of conformity assessment activities such as external certification/registration and of supply chain evaluation and surveillance.

This International Standard provides guidance on the management of audit programmes, the conduct of internal or external audits of quality and/or environmental management systems, as well as on the competence and evaluation of auditors. It is intended to apply to a broad range of potential users, including auditors, organizations implementing quality and/or environmental management systems, organizations needing to conduct audits of quality and/or environmental management systems for contractual reasons, and organizations involved in auditor certification or training, in certification/registration of management systems, in accreditation or in standardization in the area of conformity assessment.

The guidance in this International Standard is intended to be flexible. As indicated at various points in the text, the use of these guidelines can differ according to the size, nature and complexity of the organizations to be audited, as well as the objectives and scopes of the audits to be conducted. Throughout this International Standard, supplementary guidance or examples on specific topics are provided in the form of practical help in boxed text. In some instances, this is intended to support the use of this International Standard in small organizations.

Clause 4 describes the principles of auditing. These principles help the user to appreciate the essential nature of auditing and they are a necessary prelude to clauses 5, 6 and 7.

Clause 5 provides guidance on managing audit programmes and covers such issues as assigning responsibility for managing audit programmes, establishing the audit programme objectives, coordinating auditing activities and providing sufficient audit team resources.

Clause 6 provides guidance on conducting audits of quality and/or environmental management systems, including the selection of audit teams.

Clause 7 provides guidance on the competence needed by an auditor and describes a process for evaluating auditors.

Where quality and environmental management systems are implemented together, it is at the discretion of the user of this International Standard as to whether the quality management system and environmental management system audits are conducted separately or together.

Although this International Standard is applicable to the auditing of quality and/or environmental management systems, the user can consider adapting or extending the guidance provided herein to apply to other types of audits, including other management system audits.

This International Standard provides only guidance, however, users can apply this to develop their own audit-related requirements.

In addition, any other individual or organization with an interest in monitoring conformance to requirements, such as product specifications or laws and regulations, may find the guidance in this International Standard useful.

## AUSTRALIAN/NEW ZEALAND STANDARD

# Guidelines for quality and/or environmental management systems auditing

## 1 Scope

This International Standard provides guidance on the principles of auditing, managing audit programmes, conducting quality management system audits and environmental management system audits, as well as guidance on the competence of quality and environmental management system auditors.

It is applicable to all organizations needing to conduct internal or external audits of quality and/or environmental management systems or to manage an audit programme.

The application of this International Standard to other types of audit is possible in principle, provided that special consideration is paid to identifying the competence needed by the audit team members in such cases.

## 2 Normative references

The following normative documents contain provisions which, through references in this text, constitute provisions of this International Standard. For dated references, subsequent amendments to, or revisions of, any of these publications do not apply. However, parties to agreements based on this International Standard are encouraged to investigate the possibility of applying the most recent edition of the normative documents indicated below. For undated references, the latest edition of the normative document referred to apply. Members of ISO and IEC maintain registers of currently valid International Standards.

ISO 9000:2000, *Quality management systems — Fundamentals and vocabulary*

ISO 14050:2002, *Environmental management — Vocabulary*

## 3 Terms and definitions

For the purposes of this International Standard, the terms and definitions given in ISO 9000 and ISO 14050 apply, unless superseded by the terms and definitions given below.

A term in a definition or note which is defined elsewhere in this clause is indicated by boldface followed by its entry number in parentheses. Such a boldface term may be replaced in the definition by its complete definition.

### 3.1

#### **audit**

systematic, independent and documented process for obtaining **audit evidence** (3.3) and evaluating it objectively to determine the extent to which the **audit criteria** (3.2) are fulfilled

**NOTE 1** Internal audits, sometimes called first-party audits, are conducted by, or on behalf of, the organization itself for management review and other internal purposes, and may form the basis for an organization's self-declaration of conformity. In many cases, particularly in smaller organizations, independence can be demonstrated by the freedom from responsibility for the activity being audited.

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