

AS/NZS ISO 19011:2003  
ISO 19011:2002

AS/NZS ISO 19011

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.

---

The following are represented on Committee QR-006:

ARMCANZ Meat Standards Committee  
Australian Chamber of Commerce and Industry  
Australian Food and Grocery Council  
Australian Industry Group  
Australian Institute of Petroleum Ltd  
Bureau of Steel Manufacturers of Australia  
Business New Zealand  
Certification Bodies (Australia)  
Department of Defence  
Joint Accreditation System of Australia and New Zealand  
New Zealand Organisation for Quality  
Quality Society of Australasia  
The Institute of Internal Auditors – Australia  
The Royal Australian Chemical Institute

---

#### **Keeping Standards up-to-date**

Standards are living documents which reflect progress in science, technology and systems. To maintain their currency, all Standards are periodically reviewed, and new editions are published. Between editions, amendments may be issued. Standards may also be withdrawn. It is important that readers assure themselves they are using a current Standard, which should include any amendments which may have been published since the Standard was purchased.

Detailed information about joint Australian/New Zealand Standards can be found by visiting the Standards Australia web site at [www.standards.com.au](http://www.standards.com.au) or Standards New Zealand web site at [www.standards.co.nz](http://www.standards.co.nz) and looking up the relevant Standard in the on-line catalogue.

Alternatively, both organizations publish an annual printed Catalogue with full details of all current Standards. For more frequent listings or notification of revisions, amendments and withdrawals, Standards Australia and Standards New Zealand offer a number of update options. For information about these services, users should contact their respective national Standards organization.

We also welcome suggestions for improvement in our Standards, and especially encourage readers to notify us immediately of any apparent inaccuracies or ambiguities. Please address your comments to the Chief Executive of either Standards Australia International or Standards New Zealand at the address shown on the back cover.

---

# Australian/New Zealand Standard™

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

Originated in Australia as AS 3911.1(Int)—1990, AS 3911.2(Int)—1990, AS 3911.3(Int)—1990, AS/NZS ISO 14010(Int):1995, AS/NZS ISO 14011(Int):1995 and AS/NZS ISO 14012(Int):1995.  
Previous Australian editions AS 3911.1—1992, AS 3911.2—1992, AS 3911.3—1992, AS/NZS ISO 14010:1996, AS/NZS ISO 14011:1996 and AS/NZS ISO 14012:1996.  
Originated in New Zealand as NZS 10011.1:1992, NZS 10011.2:1992 and NZS 10011.3:1992.  
AS 3911.1—1992, AS 3911.2—1992, AS 3911.3—1992, AS/NZS ISO 14010:1996, AS/NZS ISO 14011:1996, AS/NZS ISO 14012:1996, NZS 10011.1:1992, NZS 10011.2:1992 and NZS 10011.3:1992 jointly revised, amalgamated and redesignated as AS/NZS ISO 19011:2003.

### **COPYRIGHT**

© Standards Australia/Standards New Zealand

All rights are reserved. No part of this work may be reproduced or copied in any form or by any means, electronic or mechanical, including photocopying, without the written permission of the publisher.

Jointly published by Standards Australia International Ltd, GPO Box 5420, Sydney, NSW 2001 and Standards New Zealand, Private Bag 2439, Wellington 6020

ISBN 0 7337 5059 1

## 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*

As this Standard is reproduced from an international Standard, the following applies:

- (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

## CONTENTS

	<i>Page</i>
Introduction.....	iv
1 Scope.....	1
2 Normative .....	1
3 Terms and definitions .....	1
4 Principles of auditing.....	3
5 Managing an audit programme .....	4
5.1 General .....	4
5.2 Audit programme objectives and extent.....	6
5.4 Audit programme implementation .....	8
5.5 Audit programme records.....	8
5.6 Audit programme monitoring and reviewing .....	9
6 Audit activities.....	9
6.1 General .....	9
6.2 Initiating the audit .....	11
6.3 Conducting document review .....	13
6.4 Preparing for the on-site audit activities .....	13
6.5 Conducting on-site audit activities .....	14
6.6 Preparing, approving and distributing the audit report.....	20
6.6.1 Preparing the audit report.....	20
6.6.2 Approving and distributing the audit report.....	20
6.7 Completing the audit .....	21
6.8 Conducting audit follow-up.....	21
7 Competence and evaluation of auditors.....	21
7.1 General .....	21
7.2 Personal attributes.....	22
7.3 Knowledge and skills.....	22
7.4 Education, work experience, auditor training and audit experience.....	25
7.5 Maintenance and improvement of competence.....	27
7.6 Auditor evaluation.....	28

This is a free preview. Purchase the entire publication at the link below:

[Product Page](#)

- 
- [Looking for additional Standards? Visit Intertek Inform Infostore](#)
  - [Learn about LexConnect, All Jurisdictions, Standards referenced in Australian legislation](#)
-