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Guidelines for auditing management systems

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This Joint Australian/New Zealand Standard was prepared by Joint Technical Committee QR-006, Quality Assessment and Audits. It was approved on behalf of the Council of Standards Australia on 21 July 2014 and on behalf of the Council of Standards New Zealand on 5 June 2014.

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The following are represented on Committee QR-006:

Association of Accredited Certification Bodies
Australian Institute of Petroleum
Australian Organisation for Quality
Bureau of Steel Manufacturers of Australia
DAA Group New Zealand
Engineers Australia
Environment Institute of Australia and New Zealand
Joint Accreditation Systems of Australia and New Zealand
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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 or Standards New Zealand at the address shown on the back cover.

This Standard was issued in draft form for comment as DR AS/NZS ISO 19011.

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PREFACE

This Standard was prepared by the Joint Standards Australia/Standards New Zealand Committee QR-006, Quality Assessment and Audits, to supersede AS/NZS ISO 19011:2003, *Guidelines for quality and/or environmental management systems auditing*.

The objective of this Standard is to provide guidance on auditing management systems, including the principles of auditing, managing an audit program and conducting management system audits, as well as guidance on the evaluation of competence of individuals involved in the audit process, including the person managing the audit program, auditors and audit teams.

This Standard is identical with, and has been reproduced from, ISO 19011:2011, *Guidelines for auditing management systems.*

This second edition cancels and replaces the first edition (AS/NZS ISO 19011:2003), which has been technically revised.

The main differences compared with the first edition are as follows:

(a)   The scope has been broadened from the auditing of quality and environmental management systems to the auditing of any management systems.

(b)   The relationship between ISO 19011 and ISO/IEC 17021 has been clarified.

(c)   Remote audit methods and the concept of risk have been introduced.

(d)   Confidentiality has been added as a new principle of auditing.

(e)   Clauses 5, 6 and 7 have been reorganized.

(f)   Additional information has been included in a new Annex B, resulting in the removal of help boxes.

(g)   The competence determination and evaluation process has been strengthened.

(h)   Illustrative examples of discipline-specific knowledge and skills have been included in a new Annex A.

(i)   Additional guidelines are available at the following website: www.iso.org/19011auditing.

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

(i)   In the source text 'this International Standard' should read 'this Australian/New Zealand Standard'.

(ii)   A full point substitutes for a comma when referring to a decimal marker.

The term 'informative' has been used in this Standard to define the application of the annex to which it applies. An 'informative' annex is only for information and guidance.

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