

# Review of Changes from ISO 19011:2002 to ISO 19011:2011

## Introduction

Given that ISO 19011 is a guidance standard rather than a compliance standard, it is worth noting that the changes made to the standard will be unlikely to have an immediate impact on any organisations. It will, however, affect the way in which auditor training is delivered as organisations such as IRCA quote the standard regularly in their training course criteria and training organisations will be expected to update their courses to comply with the changes made.

## General

The first point to note is that the title is now 'Guidelines for auditing management systems', rather than 'Guidelines for quality and/or environmental management systems auditing'. This reflects the fact that there are many management systems standards in use and that the basic principles of auditing these systems are the same.

The basic structure of the standard remains quite similar but notable additions to the new version are:

Annex A – (informative) Guidance and illustrative examples of discipline-specific knowledge and skills of auditors, and  
Annex B - (informative) Additional guidance for auditors for planning and conducting audits

In the previous version, some of this information was provided in boxes throughout the standard in the form of 'practical help'.

The other significant change is the cross references made to ISO/IEC 17021:2011. It states that this version of ISO 19011 has been written to primarily address 1<sup>st</sup> party (internal) audits and 2<sup>nd</sup> party (supplier) audits whilst ISO 17021 is primarily aimed at 3<sup>rd</sup> party (certification body) audits. It does make the point that the information in this standard may be useful to all auditors.

This linkage to ISO 17021 does show itself in the standard with the inclusion of more references to the competence requirements for auditors for example.

## Summary of Changes

Section No	Title	Changes
4	Principles of auditing	Some of the principles have changed and there is more detail explaining why each principle is required. Confidentiality has been added as a principle and the principle of independence has additional explanation regarding the level of independence for internal audits.
5	Managing an audit programme	<p>There is a little more information regarding the management of an audit programme and the standard introduces the concept of 'risk-based auditing' but then goes on to say that the standard does not give further information on the subject.</p> <p>Figure 1 – the process flow for the management of an audit programme has been re-developed.</p> <p>5.2 Establishing the audit objectives – has been expanded and further detail added</p> <p>5.3 Establishing the audit programme – contains more detail and further detail added</p> <p>5.4 Implementing the audit programme – this section has had considerably more detail added to it and now expands on the detail of topics such as the duties of team leaders and team members</p> <p>5.5 The 'old' 5.5 has been split and is now covered in 5.5 &amp; 5.6 and has added detail regarding the monitoring, reviewing and improving the audit programme</p>
6	Performing an audit	Figures 2 and 3 have been redeveloped and more detail added though the section is much the same, though the term 'correction' has been added with reference to the 'audit follow-up' activities
7	Competence and evaluation of auditors	<p>The old Figure 4 has been removed from this section and considerably more detail has been added to the section compared to the previous version.</p> <p>Once again, reference is made to 'risk' and there is more emphasis on 'sector specific skills' and their importance.</p> <p>Most likely because of the fact that the standard is now for use in all management system audits, there is more reference made to 'multi disciplinary skills' and further information regarding the achievement of competence and auditor evaluation.</p> <p>A new Table 2 has been included which refers to 'possible evaluation methods'.</p> <p>The old Table 1 and Figure 5 have been removed.</p>

Section No	Title	Changes
Annex A	Guidance and illustrative examples of discipline-specific knowledge and skills of auditors	<p>This gives specific examples of the type of knowledge and skills required by auditors in certain situations e.g.</p> <ul style="list-style-type: none"> <li>• Illustrative example of discipline-specific knowledge and skills of auditors in quality management</li> <li>• Illustrative example of discipline-specific knowledge and skills of auditors in environmental management</li> </ul>
Annex B	Additional guidance for auditors for planning and conducting audits	<p>This gives practical guidance on more detailed issues such as:</p> <ul style="list-style-type: none"> <li>• Conducting document review</li> <li>• Sampling documents</li> <li>• Preparing working documents</li> <li>• Sources of information</li> <li>• Visiting the auditee's location</li> <li>• Conducting interviews</li> <li>• Dealing with finding – conformance &amp; non-conformance</li> </ul>