



# **An Overview of ISO 19011**

## **“Guidelines on quality and/or environmental management systems auditing”**

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# Overview

- Introduction to ISO and the technical committees responsible for ISO 19011
- Development process and schedule
- Review of the contents of 19011
- Pros and Cons

# Canadian Standards Association

- CSA is a leading standards development body, product certification agency and the largest quality registrar in North America
- Private, not-for-profit organization
- Accredited by the Standards Council of Canada for standards development, product safety certification and quality/environmental registration services
- Manages the ISO Secretariats for TC176 - Quality and TC207 - Environment (held by the Standards Council of Canada)

# ISO

- International Organization for Standardization
- Central Secretariat in Geneva
- Member based - Standards Council of Canada is our official member
- Published over 12,800 standards to end of 2000
- ISO TC207 - Environmental Management Committee

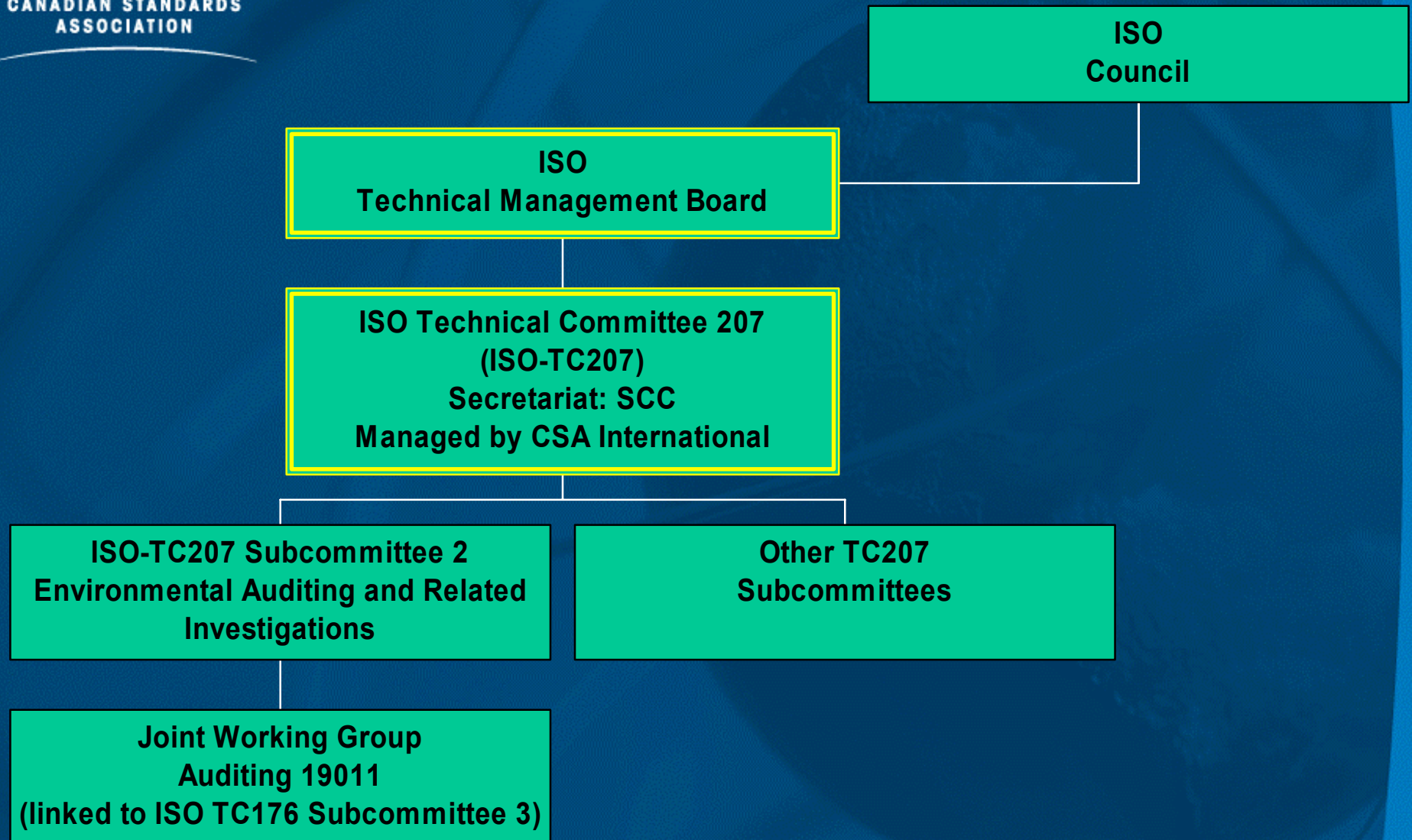
# ISO/TC 207 - Environmental Management

- **Scope:** Environmental Management tools and systems.
- **Vision:** Facilitate world trade and contribute to sustainable development.
- **Membership (75):** 60 Participating Countries, 15 Observing Countries, 43 Liaison organizations
  - ISO's largest committee!

# ISO/TC 207 - Structure Subcommittees

- SC1: Environmental Mgmt Systems
- SC2: Environmental Auditing \*
- SC3: Environmental Labeling
- SC4: Environmental Performance Evaluation
- SC5: Life Cycle Analysis

# ISO/TC 207 Structure



# Canadian Advisory Committee and ISO/TC 207



# ISO Joint Working Group (JWG)

- Responsible for the development of ISO 19011
- Reports to 2 Committees (TC176/SC3 and TC207/SC2)
- Has 2 Co-convenors (Germany + France)
- Secretariat is NEN (Netherlands)
- Includes 40 experts nominated by TC176 and TC207 member bodies

## Canadian Advisory Committee to ISO TC176-TC207 JWG

- Responsible for providing Canadian input to the development of ISO 19011
- Reports to 2 Committees (CAC TC176/SC3 and CAC TC207/SC2)
- Has 2 Co-Chairs (Andrew Noden and John Reed)
- Includes over 30 members from both quality and environmental auditing committees
- Secretariat is CSA

# ISO 19011 Standard Development

- Project Plan prepared by ISO January 1999; replace the ISO 10011-1, -2, -3, 14010, 14011 and 14012
- Working Draft #1 completed June 1999
- Committee Draft #2 completed in April 2000
- Committee Draft #3 completed in September 2000

# ISO 19011 Standard Development

Cont'd

- Draft International Standard (DIS) completed in April 2001
- Final Draft International Standard ballot issued June 2002
- International Standard November 2002

# Basic Issues of ISO 19011

- Recognition of need for harmonization of QMS and EMS auditing.
- Auditing Joint Working Group between ISO/TC176 and ISO/TC207
- Intended to provide guidance only (“should”, no “shall” language)
- Covers both internal and external auditors
- Includes “combined” and “joint” audits

# ISO 19011 Document Structure

- 0. Introduction, 1. Scope, 2. References
- 3. Terms and definitions
- 4. Principles of auditing
- 5. Audit programme management
- 6. Audit activities
- 7. Competence of auditors

# 19011 Clause 3 Terms and definitions

- Current policy is to not change definitions already provided by the 9000:2000 or 14001series
- Exceptions must be documented and justified
- New terms: audit plan, audit scope

# 19011 Clause 4 Principles of auditing

## Personal characteristics of auditors:

- Ethical conduct – trust, integrity, confidentiality, discretion
- Fair presentation – report truthfully and accurately
- Due professional care – apply diligence and judgment
- Independence – free from bias and conflict of interest

## Audit process:

- Evidence-based – verifiable evidence

“The guidance given in the remaining sections of the present International Standard is based on the principles set out above”

# 19011 Clause 5 Managing an audit programme (1 or more audits)

- 5.1 General (includes plan-do-check-act figure and concept of combined or joint audits)
- 5.2 Objectives (why? & what?) and extent (scope and criteria)
- 5.3 Responsibilities, resources and procedures
- 5.4 Implementation
- 5.5 Records
- 5.6 Monitoring and reviewing (continual improvement)

# 19011 Clause 6 Audit activities

- 6.1 General (includes flow diagram)
- 6.2 Initiating the audit (team leader, define OSC, feasibility, team, contact auditee)
- 6.3 Conducting document review
- 6.4 Preparing for the on-site activities (audit plan, work to team, work documents)

# 19011 Clause 6 Audit activities (cont'd)

- 6.5 Conducting on-site activities (opening meeting, communication – team, auditee, client, R & R of guides, collect and verify info, generate findings, conclusions, closing meeting) (**Note:** conclusions can include recommendations)
- 6.6 Preparing, approving and distributing the audit report
- 6.7 Completing the audit
- 6.8 Conducting audit follow-up (verify completion and effectiveness of corrective actions in next audit)

# 19011 Clause 7 Competence and Evaluation of auditors

- 7.1 General (includes Competence figure – specific and generic for Quality & Environment)
- 7.2 Personal attributes
- 7.3 Knowledge and skills (general, leader's, specific to QMS and EMS auditors)
- 7.4 Education, work experience, auditor training and audit experience (includes table on examples)
- 7.5 Maintenance and improvement of competence
- 7.6 Auditor evaluation process (includes flowchart, tables of evaluation methods and evaluation examples)

## Clause 7.2 Personal Attributes

### 14012

- Competence in expressing concepts/ideas
- Interpersonal Skills
- Independence/Objectivity
- Organization skills
- Judge based on evidence
- Cultural sensitivity

### 19011 DIS

- Ethical
- Open-minded
- Diplomatic
- Observant
- Perceptive
- Versatile
- Tenacious
- Decisive
- Self-reliant

## Clause 7.3 Knowledge and Skills

- **7.3.1 - General Knowledge for Auditors**
  - Audit principles, procedures and techniques
  - Management system and reference documents
  - Auditee's organization: structure, processes
  - Applicable laws and related requirements
- **7.3.2 - Specific Knowledge for Audit Team Leaders**
  - Planning and effective use of resources
  - Communicating with client/auditee
  - Leading audit team to reach audit conclusions
  - preventing and resolving conflicts
- Expansion of 14012 text

# Clause 7.3 Knowledge and Skills

Cont'd

## 7.3.4 - Specific Knowledge for EMS Auditors

- Environmental Mgmt methods and techniques
- Environmental science and technology
- Technical and environmental aspects of operations

**Combined with Clause 7.3.1, there is little change  
from 14012 to 19011**

## Clause 7.4

# Education, Work Experience

- **Requirements for an auditor**
  - education needed for knowledge and skills
  - work experience requiring exercise of judgement, prob. solving, communication
  - experience in quality/environmental field
  - auditor training/experience
- **Requirements for an audit team leader**
  - refers to 7.3.2 knowledge and skills
  - experience should be gained under supervision of a competent audit team leader

## Clause 7.4 Cont'd

# Education, Work Experience

- **Auditors of both Quality and Environment MS's**
  - additional training and work experience
  - perform audits under supervision of an auditor competent in the extra discipline
- **This also applies to Audit Team Leaders**

# Education, Work Experience

(excludes QMS/EMS auditor)

## 14012 - Auditors

- Secondary Education or equivalent
- 5 years work experience (4 for auditor w/ degree)
- 20 audit days during at least 4 audits
- Training - equivalent of 20 days on the job
- Lead Auditor - additional 15 audit days during at least 3 additional audits

## 19011 (Table 1)

- Secondary Education or equivalent
- 5 years work experience (4 for auditor w/ degree)
- 20 audit days during at least 4 audits
- Training - 40 hours
- Lead Auditor - additional 15 audit days during at least 3 additional audits within the last 2 years

## Clause 7.5 - Maintenance and Improvement of Competence

14012

- environmental science + technology
- technical and env. aspects of operations
- environmental laws
- EMSs
- audit processes

19011

- More general language for training, etc. for “changes in the needs of ... the organization, practice of auditing, standards and other requirements”
- refers to continual participation in auditing to maintain ability

## 7.6 Auditor Evaluation

- **7.6.1 - General introduction (relationship diagram between stages)**
- **7.6.2 - Initial evaluation process**
  - Set evaluation criteria
  - Select the appropriate evaluation method
  - Conduct the evaluation
- Table 3 – Evaluation Process of Auditor in Hypothetical Internal Audit Program)

# ISO 19011 Pros

- More comprehensive than former docs
- Better relevancy for both internal and external audits
- Programme element
- Enhances potential for integrated audits

# ISO 19011 Cons

- “Harmonization” of QMS and EMS, but still distinct – adds limited value (may be more value-added to Registrars)
- Concept of risk substantially missing – audit risk, assessing risk of issues, control deficiencies
- “Conclusions” – in some instances reference should be to “findings” (we’ll see)

# CAC Members - Environment

- C. Camplong Camplong & Assoc.
- T. Crich Dept. of Nat'l Defense
- A. Durand Imperial Oil
- D. Durrant Environment Canada
- P. Farrow ICF Consulting
- J. Fjeldsted Manitoba Hydro (CEA)
- D. Fraser Devro Consulting
- D. Hopper Angus Environmental
- A. Jones Ontario MOE
- J. Middleton Inco
- J. Petrini Ecologico (International Delegate)
- J. Reed Office of the Auditor General (Co-Chair)
- R. Sinukoff Jacques Whitford
- E. Villeneuve Noranda
- A. Willis CICA

# Questions or Clarifications?

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Thank You!