

ISO 19011:2018

The good, the bad and the downright ugly



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Guidelines for auditing management systems

- ‘Concentrates on’ 1st and 2nd party audits (‘can be useful for 3rd’)
- Designed to be applicable to all organisations, irrespective of size, sector or maturity of their management system
- Not based on a specific MS standard e.g. 9001/14001 – the guidance is intended to be generic

Previous editions

ISO 10011-1:1990	ISO 10011-2:1991	ISO 10011-3:1991
ISO 14010:1996	ISO 14011:1996	ISO 14012:1996



First edition - ISO 19011:2002
Guidelines for quality and/or environmental
management systems auditing



Second edition - ISO 19011:2011
Guidelines for auditing management systems

Structure

Clause 1 - Scope

Clause 2 - Normative references

Clause 3 - Terms and definitions

Clause 4 - Principles of auditing

Clause 5 - Managing an audit programme

Clause 6 - Performing an audit

Clause 7 - Competence and evaluation of auditors

Annex A - Guidance and illustrative examples of discipline specific knowledge and skills of auditors

Annex B - Additional guidance for planning and conducting audits

Bibliography

Guidelines for auditing management systems

Design specification for PC 302 - ISO 19011:2018

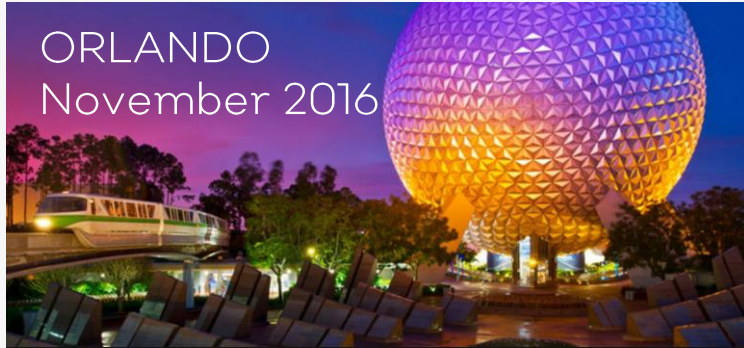
Be more explicit in terms of target audience

Use audit to identify risks and opportunities

Ensure audit programmes focus on adding value

Recognise the evolving role of ICT in management systems audit

Recognise increased integration of multiple management systems



Output - ISO CD 19011:2016



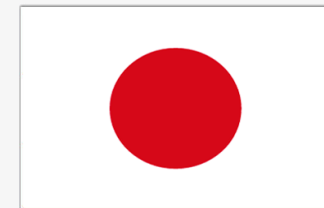
Delivered



Required



Output - ISO CD 19011:2016





Output - ISO CD 19011:2016



Output - ISO DIS 19011:2017

Towards ISO 19011:2018



Output - ISO CD 19011:2016



Output - ISO DIS 19011:2017



Output - ISO FDIS 19011:2018

Summary of key changes

Structure

Clause 1 - Scope

Clause 2 - Normative references

Clause 3 - Terms and definitions

Clause 4 - Principles of auditing

Clause 5 - Managing an audit programme

Clause 6 – Conducting ~~Performing~~ an audit

Clause 7 - Competence and evaluation of auditors

~~Annex A – Guidance and illustrative examples of discipline specific~~

~~————— knowledge and skills of auditors~~

Annex ~~A~~ B – Additional guidance for planning and conducting audits

Bibliography

4. Principles of auditing

Added a new 7th Principle

The principles of auditing

Integrity

Be ethical, be competent, be impartial, maintain judgement

Fair presentation

The obligation to report truthfully and accurately

Due professional care

The application of diligence and judgement in auditing

Confidentiality

Use discretion to protect information acquired

Independence

Independent of the activity 'where practicable'

Evidence based approach

Reach reliable and reproduceable results in a systematic manner

Risk Based Approach

Consider risks and opportunities

The risk-based approach should substantively influence the planning, conducting and reporting of audits in order to ensure that audits are focused on matters that are significant for the auditee and for achieving the audit programme objectives

5. Managing an audit programme

- Programme to focus on areas of risk and poor performance
- Programme to be monitored on an ongoing basis
- The audit client should ensure audit programme objectives are established and that the audit programme is effectively implemented, not top management
- Changes to duties of person(s) managing the programme
- Audit team members should be 'objective and impartial'. Replaces 'need to ensure the independence' of audit team members
- Person managing the programme should evaluate the achievement of the objectives for each audit
- 'Proportionate arrangements' for SME's (scaling of audit programmes)
- Examples of audit programme opportunities are provided

6. Conducting an audit

- Information regarding the auditee's 'risk and opportunities and actions to address these' is now an input into documented information review
- Extent of documented information review now linked to auditee's context & risk
- Allocation of audit resources should be risk based
- Consideration of audit methods should be risk based
- Increased recognition of role of 'new technologies' in conducting audits, also of virtual locations and digital documents
- Objective evidence (not audit evidence) is no longer 'information that can be verified', it is now information that can be subject to some degree of verification
- Lessons learned from conducting an audit should include lessons re risks to and opportunities for the audit programme itself

7. Competence and evaluation of auditors

- Auditor competence should be regularly reviewed
- When determining whether an auditor has the competence required, a consideration is the audit methods we intend to use
- We now talk about ‘desired behaviours’ not ‘necessary qualities’
- Auditors should pass generic training courses, not just attend them
- Auditor CPD should take into account changes in new technologies and changes in discipline and sector specific knowledge and skills
- Audit teams (not individual auditors) should have the collective discipline and sector-specific competence to carry out the audit
- Audit team leaders should have the competence to discuss strategic issues with the top management of the organisation being audited
- Auditors should understand the interactions and synergies of all management systems being audited (integrated audits)

Annexes

Old annex A – discipline specific knowledge & skills

Transportation safety management	Environmental management	Quality management
Records management	Information security management	Occupational health and safety management
Resilience, security, preparedness and continuity management		



Annexes

~~Old annex A – discipline specific knowledge & skills~~

New annex A – (previously annex B) – includes new areas of guidance

Annex A – additional guidance for planning and conducting audits

ISO 19011:2011

Applying audit methods

Conducting document review

Sampling

Preparing work documents

Selecting sources of information

Guidance on visiting the auditee's location

Conducting interviews

Audit findings

Annex A – additional guidance for planning and conducting audits

ISO DIS 19011

Applying audit methods	Verifying information	Sampling	Preparing audit work documents
Selecting sources of information	Guidance on visiting the auditee's location	Conducting interviews	Audit findings
Professional judgement	Performance results	Auditing risks and opportunities	Life cycle

Annex A – additional guidance for planning and conducting audits

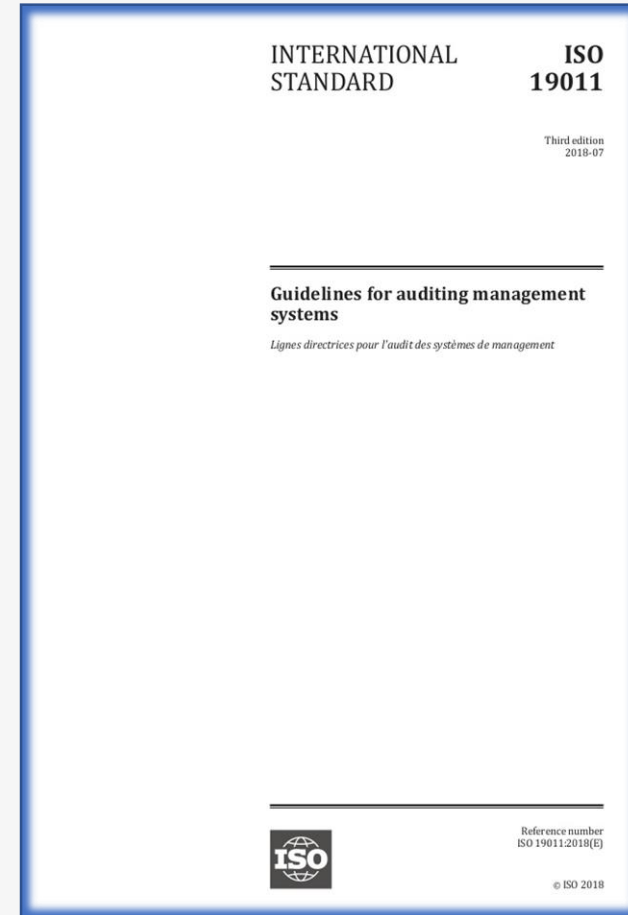
ISO FDIS 19011

Applying audit methods	Verifying information	Sampling	Preparing audit work documents
Selecting sources of information	Guidance on visiting the auditee's location	Conducting interviews	Audit findings
Professional judgement	Performance results	Auditing risks and opportunities	Life cycle
Process approach to audit	Auditing compliance within a management system	Auditing Context	Auditing Leadership and Commitment
Audit of supply chain	Auditing virtual audit activities and locations		

Is it any good?

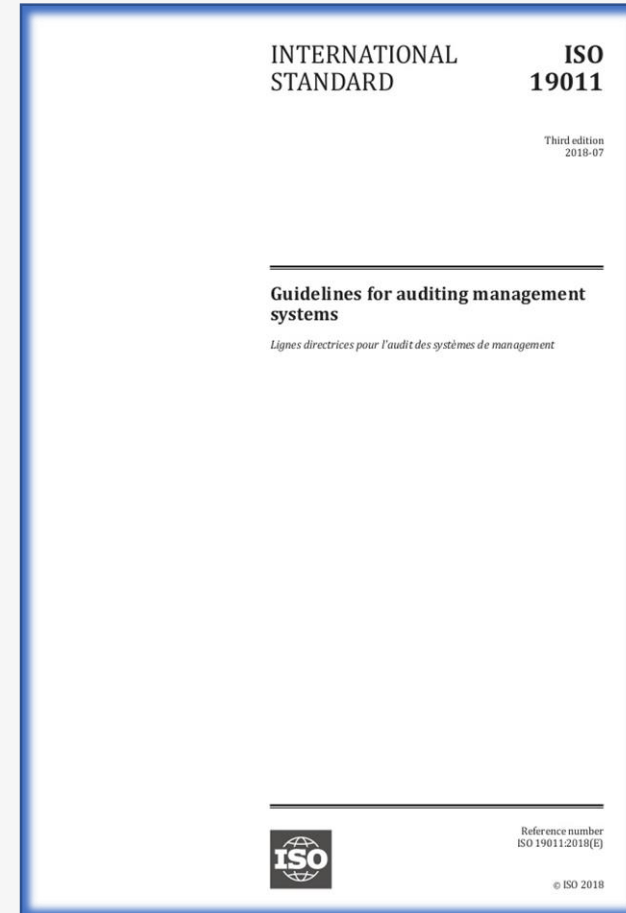
UK voted NO at DIS stage (draft international standard) stage.

UK voted YES at FDIS (final draft international Standard) stage but we weren't happy!



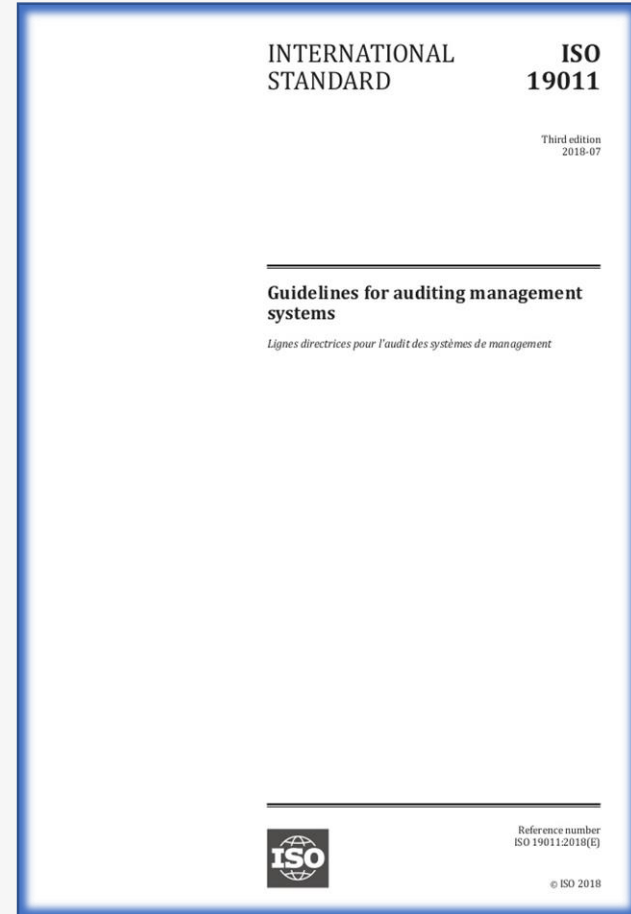
The good

- ISO 19011:2018 continues to provide the guidance auditors have come to rely on.
- It facilitates the deployment of an internal audit program by setting out recommended good practice.
- Explicitly recognises an additional 10 new areas of knowledge and skills auditors should possess, including professional judgement.
- It addresses the enhanced focus on risk.
- It provides consistency in the audit and remains the go-to document for anyone needing guidance on auditing.



The bad

- The language used remains 'ISO speak'. This facilitates international translation but not comprehension.
- Annex A (discipline specific knowledge and skills of auditors) has been deleted even though it was considered valuable.
- Coverage of annex SL is superficial – it's only referenced once in clause A.2. Process approach.



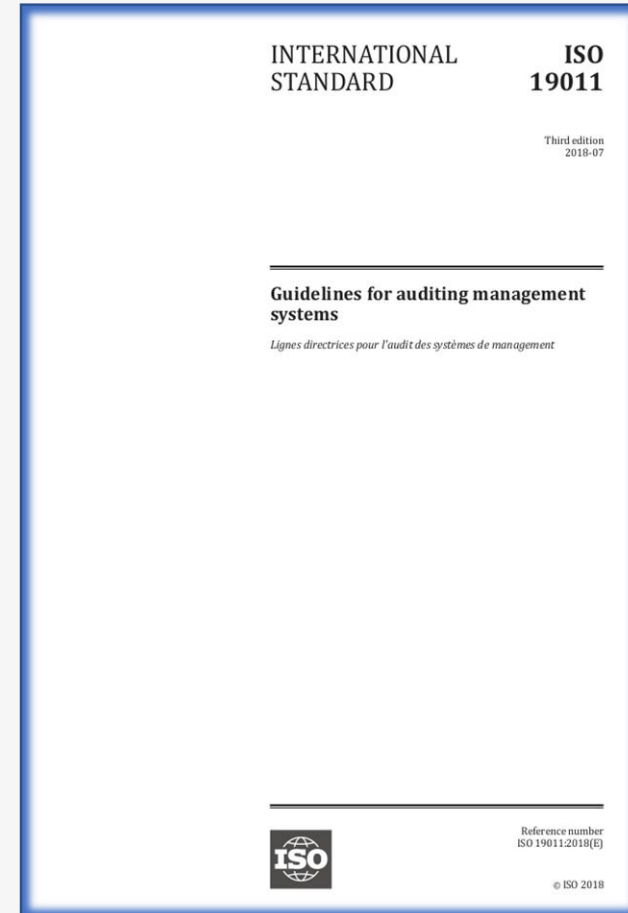
The downright ugly

- New annex A is a ‘missed opportunity’. States what should be done but gives little practical guidance as to how to do it – very limited value for those new to audit.

A.12 Audit of supply chain.

‘The audit of the supply chain to specific requirements can be required. The supplier audit programme should be developed with applicable audit criteria for the type of suppliers and external providers. The scope of the supply chain audit can differ e.g. complete management system audit, single process audit, product audit, configuration audit’.

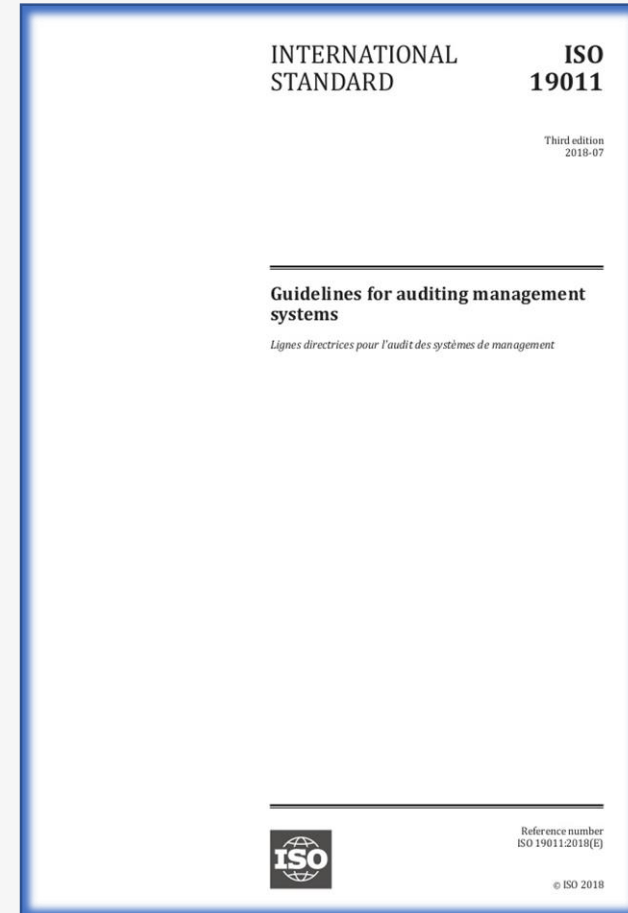
Not a ‘pick it up and get on with it’ document.




So where do we go next?

Standard is up for review in 2023
– by 2026 we should have the
next edition

AUS/1 (BSI committee) –
Business case in preparation for
a new ISO standard that does
provide practical guidance we
feel is missing.



CQI ISO 19011:2018 report



Look inside ↓

Report CQI IRCA

ISO 19011:2018
Understanding the International Standard

ISO 19011:2018 Understanding the International Standard Paperback – 2018
by The Chartered Quality Institute (Author)
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