
Smernice za presojanje sistemov vodenja (ISO 19011:2011)

Guidelines for auditing management systems (ISO 19011:2011)

Leitfaden zur Auditierung von Managementsystemen (ISO 19011:2011)

Lignes directrices pour l'audit des systèmes de management (ISO 19011:2011)

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NACIONALNI UVOD

Standard SIST EN ISO 19011 (sl,en), Smernice za presojanje sistemov vodenja (ISO 19011:2011), 2011, ima status slovenskega standarda in je enakovreden evropskemu standardu EN ISO 19011, Guidelines for auditing management systems (ISO 19011:2011), 2011.

NACIONALNI PREDGOVOR

Besedilo standarda EN ISO 19011:2011 je pripravil tehnični odbor ISO/TC 176 "Vodenje in zagotavljanje kakovosti". Slovenski standard SIST EN ISO 19011:2011 je prevod angleškega besedila evropskega standarda EN ISO 19011:2011. V primeru spora glede besedila slovenskega prevoda v tem standardu je odločilen izvorni evropski standard v angleškem jeziku. Slovensko-angleško izdajo standarda je pripravil SIST/TC VZK Vodenje in zagotavljanje kakovosti.

Odločitev za privzem tega standarda je dne 25. novembra 2011 sprejel SIST/TC VZK Vodenje in zagotavljanje kakovosti.

OSNOVA ZA IZDAJO STANDARDARDA

- privzem standarda EN ISO 19011:2011

PREDHODNA IZDAJA

- SIST EN ISO 19011:2003

OPOMBE

- Povsod, kjer se v besedilu standarda uporablja izraz "mednarodni standard", v SIST EN ISO 19011:2011 to pomeni "slovenski standard".
- Nacionalni uvod in nacionalni predgovor nista sestavni del standarda.
- Ta nacionalni dokument je istoveten EN ISO 19011:2011 in je objavljen z dovoljenjem

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Slovenska izdaja

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Ta evropski standard je CEN sprejel 5. novembra 2011.

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European Committee for Standardization
Europäisches Komitee für Normung
Comité Européen de Normalisation

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Predgovor k evropskemu standardu

Ta dokument (EN ISO 19011:2011) je pripravil tehnični odbor ISO/TC 176 "Vodenje in zagotavljanje kakovosti".

Ta evropski standard mora z objavo istovetnega besedila ali z razglasitvijo dobiti status nacionalnega standarda najpozneje do maja 2012, nacionalne standarde, ki so v nasprotju s tem standardom, pa je treba umakniti najpozneje do maja 2012.

Opozarja se na možnost, da je lahko nekaj elementov tega dokumenta predmet patentnih pravic. CEN [in/ali CENELEC] ne prevzema odgovornosti za identifikacijo katerih koli ali vseh takih patentnih pravic.

Ta dokument nadomešča EN ISO 19011:2002.

V skladu z notranjimi predpisi CEN/CENELEC morajo ta evropski standard obvezno uvesti nacionalne organizacije za standardizacijo naslednjih držav: Avstrije, Belgije, Bolgarije, Cipra, Češke republike, Danske, Estonije, Finske, Francije, Grčije, Hrvaške, Irske, Islandije, Italije, Latvije, Litve, Luksemburga, Madžarske, Malte, Nemčije, Nizozemske, Norveške, Poljske, Portugalske, Romunije, Slovaške, Slovenije, Španije, Švedske, Švice in Združenega kraljestva.

Foreword to the european standard

This document (EN ISO 19011:2011) has been prepared by Technical Committee ISO/TC 176 "Quality management and quality assurance".

This European Standard shall be given the status of a national standard, either by publication of an identical text or by endorsement, at the latest by May 2012, and conflicting national standards shall be withdrawn at the latest by May 2012.

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This document supersedes EN ISO 19011:2002.

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Predgovor k mednarodnemu standardu

ISO (Mednarodna organizacija za standardizacijo) je svetovna zveza nacionalnih organov za standarde (članov ISO). Mednarodne standarde ponavadi pripravljajo tehnični odbori ISO. Vsak član, ki želi delovati na določenem področju, za katero je bil ustanovljen tehnični odbor, ima pravico biti zastopan v tem odboru. Pri delu sodelujejo tudi mednarodne vladne in nevladne organizacije, povezane z ISO. V vseh zadevah, ki so povezane s standardizacijo na področju elektrotehnike, ISO tesno sodeluje z Mednarodno elektrotehniško komisijo (IEC).

Mednarodni standardi so pripravljani v skladu s pravili, podanimi v Direktivah ISO/IEC, 2. del.

Glavna naloga tehničnih odborov je priprava mednarodnih standardov. Osnutki mednarodnih standardov, ki jih sprejmejo tehnični odbori, se pošljejo vsem članom v glasovanje. Za objavo mednarodnega standarda je treba pridobiti soglasje najmanj 75 odstotkov članov, ki so glasovali.

Opozarja se na možnost, da je lahko nekaj elementov tega dokumenta predmet patentnih pravic. ISO ne prevzema odgovornosti za identifikacijo katerih koli ali vseh takih patentnih pravic.

ISO 19011 je pripravil tehnični odbor ISO/TC 176 *Vodenje in zagotavljanje kakovosti*, pododbor SC 3 *Podporne tehnologije*.

Ta druga izdaja razveljavlja in nadomešča prvo izdajo (ISO 19011:2002), ki je tehnično revidirana.

Glavne razlike v primerjavi s prvo izdajo so:

- področje uporabe je s presojanja sistemov vodenja kakovosti in ravnanja z okoljem razširjeno na presojanje katerega koli sistema vodenja;
- razjasnjena je povezava med ISO 19011 in ISO/IEC 17021;
- uvedeni so metode presoje na daljavo in koncept tveganja;

Foreword to the international standard

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

International Standards are drafted in accordance with the rules given in the ISO/IEC Directives, Part 2.

The main task of technical committees is to prepare International Standards. Draft International Standards adopted by the technical committees are circulated to the member bodies for voting. Publication as an International Standard requires approval by at least 75 % of the member bodies casting a vote.

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ISO 19011 was prepared by Technical Committee ISO/TC 176, *Quality management and quality assurance*, Subcommittee SC 3, *Supporting technologies*.

This second edition cancels and replaces the first edition (ISO 19011:2002), which has been technically revised.

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

- the scope has been broadened from the auditing of quality and environmental management systems to the auditing of any management systems;
- the relationship between ISO 19011 and ISO/IEC 17021 has been clarified;
- remote audit methods and the concept of risk have been introduced;

- kot novo načelo presojanja je dodana zaupnost;
 - točke 5, 6 in 7 so preoblikovane;
 - v nov dodatek B so zaradi odstranitve okvirov za pomoč vključene dodatne informacije;
 - okrepljen je proces določanja in vrednotenja kompetentnosti;
 - v nov dodatek A so vključeni primeri prikaza specifičnega strokovnega znanja in veščin;
 - dodatne smernice so na voljo na spletni strani: www.iso.org/19011auditing.
- confidentiality has been added as a new principle of auditing;
 - Clauses 5, 6 and 7 have been reorganized;
 - additional information has been included in a new Annex B, resulting in the removal of help boxes;
 - the competence determination and evaluation process has been strengthened;
 - illustrative examples of discipline-specific knowledge and skills have been included in a new Annex A;
 - additional guidelines are available at the following website: www.iso.org/19011auditing

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Uvod

Odkar je bila leta 2002 izdana prva izdaja tega mednarodnega standarda, so bili objavljeni številni novi standardi za sisteme vodenja. Zato sta nastopili potrebi po upoštevanju širšega obsega presojanja sistemov vodenja in po zagotavljanju splošnejših navodil.

Leta 2006 je Odbor ISO za ugotavljanje skladnosti (CASCO) razvil standard ISO/IEC 17021, ki podaja zahteve za certificiranje sistemov vodenja tretje stranke in je delno temeljil na smernicah iz prve izdaje tega mednarodnega standarda.

Leta 2011 izdana druga izdaja ISO/IEC 17021 je bila razširjena v tem pogledu, da so bili napotki iz tega mednarodnega standarda spremenjeni v zahteve za presoje certificiranja sistemov vodenja. Prav v tem okviru podaja druga izdaja tega mednarodnega standarda napotke za vse uporabnike, vključno z majhnimi in srednje velikimi organizacijami, ter posveča posebno pozornost t. i. "notranjim presojam" (prva stranka) in "presojam, ki jih odjemalci izvajajo pri svojih dobaviteljih" (druga stranka). Tistim, ki izvajajo presoje certificiranja sistemov vodenja po zahtevah standarda ISO/IEC 17021:2011, pa bi utegnili koristiti tudi napotki iz tega mednarodnega standarda.

V preglednici 1 so prikazane povezave med drugo izdajo tega mednarodnega standarda in ISO/IEC 17021:2011.

Preglednica 1: Področje uporabe tega mednarodnega standarda in njegova povezava z ISO/IEC 17021:2011

Notranja presoja	Zunanja presoja	
	Presoja dobaviteljev	Presoja tretje stranke
Včasih imenovana presoja prve stranke	Včasih imenovana presoja druge stranke	Za pravne, regulativne in podobne namene Za certificiranje (glej tudi zahteve v ISO/IEC 17021:2011)

Ta mednarodni standard ne navaja zahtev, temveč podaja napotke za vodenje programa presoj, načrtovanje in izvajanje presoje sistema vodenja ter za kompetentnost in ovrednotenje

Introduction

Since the first edition of this International Standard was published in 2002, a number of new management system standards have been published. As a result, there is now a need to consider a broader scope of management system auditing, as well as providing guidance that is more generic.

In 2006, the ISO committee for conformity assessment (CASCO) developed ISO/IEC 17021, which sets out requirements for third party certification of management systems and which was based in part on the guidelines contained in the first edition of this International Standard.

The second edition of ISO/IEC 17021, published in 2011, was extended to transform the guidance offered in this International Standard into requirements for management system certification audits. It is in this context that this second edition of this International Standard provides guidance for all users, including small and medium-sized organizations, and concentrates on what are commonly termed "internal audits" (first party) and "audits conducted by customers on their suppliers" (second party). While those involved in management system certification audits follow the requirements of ISO/IEC 17021:2011, they might also find the guidance in this International Standard useful.

The relationship between this second edition of this International Standard and ISO/IEC 17021:2011 is shown in Table 1.

Table 1 – Scope of this International Standard and its relationship with ISO/IEC 17021:2011

Internal auditing	External auditing	
	Supplier auditing	Third party auditing
Sometimes called first party audit	Sometimes called second party audit	For legal, regulatory and similar purposes For certification (see also the requirements in ISO/IEC 17021:2011)

This International Standard does not state requirements, but provides guidance on the management of an audit programme, on the planning and conducting of an audit of the

posameznega presojevalca in presojevalne skupine.

V organizaciji lahko deluje več formalnih sistemov vodenja. Da bi poenostavili berljivost tega mednarodnega standarda, je uporabljena edninska oblika "sistem vodenja", bralec pa lahko izvajanje napotkov prilagodi svojim razmeram. To se nanaša tudi na uporabo samostalnikov "oseba" in "osebe", "presojevalec" in "presojevalci".

Ta mednarodni standard je namenjen širokemu krogu morebitnih uporabnikov, vključno s presojevalci, organizacijami, ki izvajajo sisteme vodenja, in organizacijami, ki morajo iz pogodbenih ali regulativnih razlogov izvajati presojo sistemov vodenja. Uporabniki tega mednarodnega standarda pa lahko te napotke uporabijo tudi za pripravo lastnih zahtev v zvezi s presojo.

Napotki iz tega mednarodnega standarda se lahko uporabljajo tudi za samodeklariranje in lahko koristijo organizacijam, ki izvajajo usposabljanje presojevalcev ali certificiranje osebja.

Napotki iz tega mednarodnega standarda se lahko prilagajajo. Kot je razvidno iz različnih delov besedila, se lahko uporaba teh napotkov razlikuje glede na velikost in stopnjo zrelosti sistema vodenja organizacije, na naravo in kompleksnost presojane organizacije ter tudi glede na cilje in obseg predvidenih presoj.

Ta mednarodni standard v presojanje sistemov vodenja uvaja koncept tveganja. Privzeti pristop se nanaša tako na tveganje, da proces presoje ne bo dosegel svojih ciljev, kot tudi na možnost poseganja presoje v dejavnosti in procese presojanca. Ne daje pa posebnih napotkov glede procesa obvladovanja tveganja organizacije, temveč dopušča, da organizacije osredotočijo presojo na zadeve, ki so pomembne za sistem vodenja.

V tem mednarodnem standardu je sprejet pristop, da se skupno presojanje dveh ali več sistemov vodenja imenuje "kombinirana presoja". Kadar so ti sistemi povezani v en sistem vodenja, so načela in procesi presojanja enaki kot pri kombinirani presoji.

management system, as well as on the competence and evaluation of an auditor and an audit team.

Organizations can operate more than one formal management system. To simplify the readability of this International Standard, the singular form of "management system" is preferred, but the reader can adapt the implementation of the guidance to their own particular situation. This also applies to the use of "person" and "persons", "auditor" and "auditors".

This International Standard is intended to apply to a broad range of potential users, including auditors, organizations implementing management systems, and organizations needing to conduct audits of management systems for contractual or regulatory reasons. Users of this International Standard can, however, apply this guidance in developing their own audit-related requirements.

The guidance in this International Standard can also be used for the purpose of self-declaration, and can be useful to organizations involved in auditor training or personnel certification.

The guidance in this International Standard is intended to be flexible. As indicated at various points in the text, the use of this guidance can differ depending on the size and level of maturity of an organization's management system and on the nature and complexity of the organization to be audited, as well as on the objectives and scope of the audits to be conducted.

This International Standard introduces the concept of risk to management systems auditing. The approach adopted relates both to the risk of the audit process not achieving its objectives and to the potential of the audit to interfere with the auditee's activities and processes. It does not provide specific guidance on the organization's risk management process, but recognizes that organizations can focus audit effort on matters of significance to the management system.

This International Standard adopts the approach that when two or more management systems of different disciplines are audited together, this is termed a "combined audit". Where these systems are integrated into a single management system, the principles and processes of auditing are the same as for a combined audit.

V točki 3 so podani ključni izrazi in definicije, ki se uporabljajo v tem mednarodnem standardu. Pri tem je bilo v največji možni meri poskrbljeno, da te definicije niso v nasprotju z definicijami, uporabljenimi v drugih standardih.

V točki 4 so opisana načela, na katerih temelji presojanje. Ta načela pomagajo uporabniku razumeti bistvene značilnosti presojanja in so pomembna za razumevanje napotkov v točkah od 5 do 7.

V točki 5 so podani napotki za določitev in vodenje programa presoj, določitev ciljev programa presoj in koordiniranje aktivnosti presojanja.

V točki 6 so podani napotki za načrtovanje in vodenje presoje sistema vodenja.

V točki 7 so podani napotki glede kompetentnosti in vrednotenja presojevalcev in presojevalnih skupin za sisteme vodenja.

Dodatek A ponazarja uporabo napotkov iz točke 7 v različnih strokah.

Dodatek B podaja dodatne napotke za presojevalce glede načrtovanja in izvajanja presoj.

Clause 3 sets out the key terms and definitions used in this International Standard. All efforts have been taken to ensure that these definitions do not conflict with definitions used in other standards.

Clause 4 describes the principles on which auditing is based. These principles help the user to understand the essential nature of auditing and they are important in understanding the guidance set out in Clauses 5 to 7.

Clause 5 provides guidance on establishing and managing an audit programme, establishing the audit programme objectives, and coordinating auditing activities.

Clause 6 provides guidance on planning and conducting an audit of a management system.

Clause 7 provides guidance relating to the competence and evaluation of management system auditors and audit teams.

Annex A illustrates the application of the guidance in Clause 7 to different disciplines.

Annex B provides additional guidance for auditors on planning and conducting audits.

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Smernice za presojanje sistemov vodenja

1 Področje uporabe

Ta mednarodni standard podaja napotke o presojanju sistemov vodenja, vključno z načeli presojanja, vodenjem programa presoj in izvajanjem presoj sistema vodenja, ter tudi napotke glede vrednotenja kompetentnosti posameznikov, zajetih v proces presoje, vključno z osebo, ki vodi program presoj, presojevalci in presojevalnimi skupinami.

Uporaben je v vseh organizacijah, ki morajo izvajati notranje ali zunanje presoje sistemov vodenja ali voditi program presoj.

Ta mednarodni standard je mogoče uporabiti pri drugih vrstah presoj, če se pri tem posebna pozornost posveti potrebnim specifičnim kompetentnostim.

2 Zveza s standardi

Standard ne vsebuje sklicevanj na druge standarde. Ta točka je vključena zgolj zato, da se ohrani istovetno številčenje z drugimi standardi ISO za sisteme vodenja.

3 Izrazi in definicije

V tem mednarodnem standardu se uporabljajo naslednji izrazi in definicije:

3.1 presoja

sistematičen, neodvisen in dokumentiran proces pridobivanja **dokazov presoje** (3.3) in njihovega objektivnega vrednotenja, da bi se določil obseg, v katerem so izpolnjeni **kriteriji presoje** (3.2)

OPOMBA 1: Notranje presoje, ki se včasih imenujejo presoje prve stranke, izvaja organizacija sama ali nekdo v njenem imenu za vodstveni pregled in druge notranje namene (npr. za potrditev uspešnosti sistema vodenja ali pridobitev informacij za izboljšanje sistema vodenja). Notranje presoje so lahko podlaga za samodeklariranje organizacije o skladnosti. V številnih primerih, zlasti v manjših organizacijah, se lahko neodvisnost izkazuje z neodgovornostjo za aktivnost, ki se presoja, ali z odsotnostjo predsodkov in nasprotja interesov.

OPOMBA 2: Zunanje presoje vključujejo presoje druge in tretje stranke. Presoje druge stranke izvajajo stranke, ki so zainteresirane za organizacijo, npr. odjemalci, ali pa druge osebe v njihovem imenu. Presoje tretje

Guidelines for auditing management systems

1 Scope

This International Standard provides guidance on auditing management systems, including the principles of auditing, managing an audit programme 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 programme, auditors and audit teams.

It is applicable to all organizations that need to conduct internal or external audits of management systems or manage an audit programme.

The application of this International Standard to other types of audits is possible, provided that special consideration is given to the specific competence needed.

2 Normative references

No normative references are cited. This clause is included in order to retain clause numbering identical with other ISO management system standards.

3 Terms and definitions

For the purposes of this document, the following terms and definitions apply.

3.1 audit

systematic, independent and documented process for obtaining **audit evidence** (3.3) and evaluating it objectively to determine the extent to which the **audit criteria** (3.2) are fulfilled

NOTE 1 Internal audits, sometimes called first party audits, are conducted by the organization itself, or on its behalf, for management review and other internal purposes (e.g. to confirm the effectiveness of the management system or to obtain information for the improvement of the management system). Internal audits can form the basis for an organization's self-declaration of conformity. In many cases, particularly in small organizations, independence can be demonstrated by the freedom from responsibility for the activity being audited or freedom from bias and conflict of interest.

NOTE 2 External audits include second and third party audits. Second party audits are conducted by parties having an interest in the organization, such as customers, or by other persons on their behalf. Third party

	stranke izvajajo neodvisne presojevalne organizacije, kot so regulativni organi ali organizacije, ki izvajajo certifikacijo.		audits are conducted by independent auditing organizations, such as regulators or those providing certification.
OPOMBA 3:	Kadar se skupaj presojata dva ali več sistemov vodenja različnih strok (npr. kakovost, okolje, varnost in zdravje pri delu), se to imenuje kombinirana presoja.	NOTE 3	When two or more management systems of different disciplines (e.g. quality, environmental, occupational health and safety) are audited together, this is termed a combined audit.
OPOMBA 4:	Kadar pri presoji enega samega presojanca (3.7) sodelujeta dve ali več presojevalnih organizacij, se to imenuje skupna presoja.	NOTE 4	When two or more auditing organizations cooperate to audit a single auditee (3.7), this is termed a joint audit.
OPOMBA 1:	Prirejeno po ISO 9000:2005, definicija 3.9.1.	NOTE 5	Adapted from ISO 9000:2005, definition 3.9.1.

3.2

kriteriji presoje

skupek splošnih usmeritev, postopkov ali zahtev, ki se uporabljajo kot referenčna podlaga, s katero se primerja **dokaz presoje** (3.3)

OPOMBA 1: Prirejeno po ISO 9000:2005, definicija 3.9.3.

OPOMBA 2: Če so kriteriji presoje zakonske zahteve (vključno z regulativnimi), se v **ugotovitvi presoje** (3.4) pogosto uporabljata izraza "skladen" ali "neskladen".

3.3

dokaz presoje

zapisi, ugotovitve o dejstvih ali druge informacije v zvezi s **kriteriji presoje** (3.2), ki se lahko tudi preverijo

OPOMBA: Dokaz presoje je lahko kvalitativen ali kvantitativen.

[ISO 9000:2005, definicija 3.9.4]

3.4

ugotovitve presoje

rezultati vrednotenja zbranih **dokazov presoje** (3.3) glede na **kriterije presoje** (3.2)

OPOMBA 1: Ugotovitve presoje pokažejo skladnost ali neskladnost.

OPOMBA 2: Ugotovitve presoje lahko vodijo k identifikaciji priložnosti za izboljšanje ali k zapisovanju dobrih praks.

OPOMBA 3: Če so kriteriji presoje izbrani na podlagi zakonskih ali drugih zahtev, se ugotovitev presoje imenuje ustreznost oziroma neustreznost.

OPOMBA 4: Prirejeno po ISO 9000:2005, definicija 3.9.5.

3.5

sklep presoje

izid **presoje** (3.1) po premisleku o ciljih in vseh **ugotovitvah presoje** (3.4)

OPOMBA: Prirejeno po ISO 9000:2005, definicija 3.9.6.

3.2

audit criteria

set of policies, procedures or requirements used as a reference against which **audit evidence** (3.3) is compared

NOTE 1 Adapted from ISO 9000:2005, definition 3.9.3.

NOTE 2 If the audit criteria are legal (including statutory or regulatory) requirements, the terms "compliant" or "non-compliant" are often used in an **audit finding** (3.4).

3.3

audit evidence

records, statements of fact or other information which are relevant to the **audit criteria** (3.2) and verifiable

NOTE Audit evidence can be qualitative or quantitative.

[ISO 9000:2005, definition 3.9.4]

3.4

audit findings

results of the evaluation of the collected **audit evidence** (3.3) against **audit criteria** (3.2)

NOTE 1 Audit findings indicate conformity or nonconformity.

NOTE 2 Audit findings can lead to the identification of opportunities for improvement or recording good practices.

NOTE 3 If the audit criteria are selected from legal or other requirements, the audit finding is termed compliance or non-compliance.

NOTE 4 Adapted from ISO 9000:2005, definition 3.9.5.

3.5

audit conclusion

outcome of an **audit** (3.1), after consideration of the audit objectives and all **audit findings** (3.4)

NOTE Adapted from ISO 9000:2005, definition 3.9.6.

3.6**naročnik presoje**

organizacija ali oseba, ki zahteva **presojo** (3.1)

OPOMBA 1: Pri notranji presoji je naročnik lahko tudi **presojanec** (3.7) ali oseba, ki vodi program presoj. Zahteve za zunanjo presojo lahko izhajajo iz virov, kot so zakonodajalci, pogodbene stranke ali morebitni naročniki.

OPOMBA 2: Prirejeno po ISO 9000:2005, definicija 3.9.7.

3.7**presojanec**

presojana organizacija

[ISO 9000:2005, definicija 3.9.8]

3.8**presojevalec**

oseba, ki izvaja presojo (3.1)

3.9**presojevalna skupina**

eden ali več **presojevalcev** (3.8), ki izvajajo **presojo** (3.1) in jim po potrebi pomagajo **tehnični izvedenci** (3.10)

OPOMBA 1: En presojevalec v presojevalni skupini je določen za vodjo presojevalne skupine.

OPOMBA 2: V presojevalni skupini so lahko presojevalci, ki se usposablajo.

[ISO 9000:2005, definicija 3.9.10]

3.10**tehnični izvedenec**

oseba, ki **presojevalni skupini** (3.9) zagotavlja specifično znanje ali strokovnost

OPOMBA 1: Specifično znanje ali strokovnost se nanaša na organizacijo, proces ali aktivnost, ki je predmet presoje, ali na jezik ali kulturo.

OPOMBA 2: Tehnični izvedenec v presojevalni skupini ne deluje kot **presojevalec** (3.8).

[ISO 9000:2005, definicija 3.9.11]

3.11**opazovalec**

oseba, ki spremlja **presojevalno skupino** (3.9), a ne presoja

OPOMBA 1: Opazovalec ni član **presojevalne skupine** (3.9) in ne vpliva na **izvedbo presoje** (3.1) ali vanjo posega.

OPOMBA 2: Opazovalec je lahko od **presojanca** (3.7), zakonodajalca ali druge zainteresirane strani, ki opazuje **presojo** (3.1).

3.6**audit client**

organization or person requesting an **audit** (3.1)

NOTE 1 In the case of internal audit, the audit client can also be the **auditee** (3.7) or the person managing the audit programme. Requests for external audit can come from sources such as regulators, contracting parties or potential clients.

NOTE 2 Adapted from ISO 9000:2005, definition 3.9.7.

3.7**auditee**

organization being audited

[ISO 9000:2005, definition 3.9.8]

3.8**auditor**

person who conducts an **audit** (3.1)

3.9**audit team**

one or more **auditors** (3.8) conducting an **audit** (3.1), supported if needed by **technical experts** (3.10)

NOTE 1 One auditor of the audit team is appointed as the audit team leader.

NOTE 2 The audit team may include auditors-in-training.

[ISO 9000:2005, definition 3.9.10]

3.10**technical expert**

person who provides specific knowledge or expertise to the **audit team** (3.9)

NOTE 1 Specific knowledge or expertise is that which relates to the organization, the process or activity to be audited, or language or culture.

NOTE 2 A technical expert does not act as an **auditor** (3.8) in the audit team.

[ISO 9000:2005, definition 3.9.11]

3.11**observer**

person who accompanies the **audit team** (3.9) but does not audit

NOTE 1 An observer is not a part of the **audit team** (3.9) and does not influence or interfere with the conduct of the **audit** (3.1).

NOTE 2 An observer can be from the **auditee** (3.7), a regulator or other interested party who witnesses the **audit** (3.1).

3.12**spremljevalec**

oseba, ki jo **presojanec** (3.7) imenuje za pomoč **presojevalni skupini** (3.9)

3.13**program presoj**

ureditve za skupek ene ali več **presoj** (3.1), načrtovanih v specifičnem časovnem okviru in usmerjenih v specifičen namen

OPOMBA: Prirejeno po ISO 9000:2005, definicija 3.9.2.

3.14**obseg presoje**

obseg in meje presoje (3.1)

OPOMBA: Obseg presoje na splošno sestavlja opis fizičnih lokacij, organizacijskih enot, aktivnosti in procesov pa tudi časovnega obdobja, ki jih zajema presoja.

[ISO 9000:2005, definicija 3.9.13]

3.15**plan presoje**

opis aktivnosti in ureditev za **presajo** (3.1)

[ISO 9000:2005, definicija 3.9.12]

3.16**tveganje**

vpliv negotovosti na cilje

OPOMBA: Prirejeno po ISO Vodilu 73:2009, definicija 1.1.

3.17**kompetentnost**

spodobnost za uporabo znanja in veščin za doseganje zelenih rezultatov

OPOMBA: Spodobnost pomeni ustrezno osebno vedenje med procesom presoje.

3.18**skladnost**

izpolnitev zahteve

[ISO 9000:2005, definicija 3.6.1]

3.19**neskladnost**

neizpolnitev zahteve

[ISO 9000:2005, definicija 3.6.2]

3.20**sistem vodenja**

sistem za določanje politike in ciljev ter za doseganje teh ciljev

3.12**guide**

person appointed by the **auditee** (3.7) to assist the **audit team** (3.9)

3.13**audit programme**

arrangements for a set of one or more **audits** (3.1) planned for a specific time frame and directed towards a specific purpose

NOTE Adapted from ISO 9000:2005, definition 3.9.2.

3.14**audit scope**

extent and boundaries of an **audit** (3.1)

NOTE The audit scope generally includes a description of the physical locations, organizational units, activities and processes, as well as the time period covered.

[ISO 9000:2005, definition 3.9.13]

3.15**audit plan**

description of the activities and arrangements for an **audit** (3.1)

[ISO 9000:2005, definition 3.9.12]

3.16**risk**

effect of uncertainty on objectives

NOTE Adapted from ISO Guide 73:2009, definition 1.1.

3.17**competence**

ability to apply knowledge and skills to achieve intended results

NOTE Ability implies the appropriate application of personal behaviour during the audit process.

3.18**conformity**

fulfilment of a requirement

[ISO 9000:2005, definition 3.6.1]

3.19**nonconformity**

non-fulfilment of a requirement

[ISO 9000:2005, definition 3.6.2]

3.20**management system**

system to establish policy and objectives and to achieve those objectives

OPOMBA: Sistem vodenja organizacije lahko vključuje različne sisteme vodenja, npr. sistem vodenja kakovosti, sistem finančnega vodenja ali sistem ravnanja z okoljem.

NOTE A management system of an organization can include different management systems, such as a quality management system, a financial management system or an environmental management system.

[ISO 9000:2005, definicija 3.2.2]

[ISO 9000:2005, definition 3.2.2]

4 Načela presojanja

Za presojanje je značilno upoštevanje številnih načel. Ta načela naj bi iz presoje naredila uspešno in zanesljivo orodje za podporo politikam vodenja in obvladovanja, s tem da priskrbi informacije, na podlagi katerih lahko organizacija ukrepa za izboljšanje svojega delovanja. Upoštevanje teh načel je prvi pogoj za zagotovitev ustreznih in zadostnih sklepov presoj in možnosti presojevalcem, ki delujejo medsebojno neodvisno, da bi prišli do podobnih sklepov v podobnih okoliščinah.

4 Principles of auditing

Auditing is characterized by reliance on a number of principles. These principles should help to make the audit an effective and reliable tool in support of management policies and controls, by providing information on which an organization can act in order to improve its performance. Adherence to these principles is a prerequisite for providing audit conclusions that are relevant and sufficient and for enabling auditors, working independently from one another, to reach similar conclusions in similar circumstances.

Napotki iz točk 5 do 7 temeljijo na spodnjih šestih načelih.

The guidance given in Clauses 5 to 7 is based on the six principles outlined below.

a) **Integriteta:** temelj strokovnosti

a) **Integrity:** the foundation of professionalism

Presojevalci in oseba, ki vodi program presoj, naj:

Auditors and the person managing an audit programme should:

- svoje delo opravljajo pošteno, skrbno in odgovorno;
- upoštevajo in izpolnjujejo vse veljavne zakonske zahteve;
- pri opravljanju svojega dela izkazujejo svojo kompetentnost;
- svoje delo opravljajo nepristransko, tj. pri vseh svojih poslih ostanejo poštene in nepristranski;
- bodo občutljivi za morebitne vplive, ki se med izvajanjem presoje izvajajo na njihovo sprejemanje sodb.

- perform their work with honesty, diligence, and responsibility;
- observe and comply with any applicable legal requirements;
- demonstrate their competence while performing their work;
- perform their work in an impartial manner, i.e. remain fair and unbiased in all their dealings;
- be sensitive to any influences that may be exerted on their judgement while carrying out an audit.

b) **Korektnost predstavitev:** dolžnost poročati resnično in točno

b) **Fair presentation:** the obligation to report truthfully and accurately

Ugotovitve presoj, sklepi presoj in poročila o presojah naj resnično in točno odražajo aktivnosti presoje. Poroča naj se o pomembnih ovirah, na katere se je naletelo med presojo, in o nerešenih razlikah v mnenjih med presojevalno skupino in presojevalcem. Komunikacija naj bo resnična, točna, objektivna, pravočasna, jasna in popolna.

Audit findings, audit conclusions and audit reports should reflect truthfully and accurately the audit activities. Significant obstacles encountered during the audit and unresolved diverging opinions between the audit team and the auditee should be reported. The communication should be truthful, accurate, objective, timely, clear and complete.

c) **Ustrezna strokovna skrbnost:** uporaba prizadevnosti in preudarnosti pri presojanju

c) **Due professional care:** the application of diligence and judgement in auditing

Presojevalci naj skrbijo, da je delo skladno s

Auditors should exercise due care in