SLOVENSKI STANDARD

SIST EN ISO 19011

oktober 2018

Smernice za presojanje sistemov vodenja (ISO 19011:2018)

Guidelines for auditing management systems (ISO 19011:2018)

Lignes directrices pour l'audit des systèmes de management (ISO 19011:2018)

Leitfaden zur Auditierung von Managementsystemen (ISO 19011:2018)

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SIST EN ISO 19011:2018
https://standards.iteh.ai/catalog/standards/sist/ea0a6e90-5b92-4dae-99a1-
3af3834c8757/sist-en-iso-19011-2018

ICS   03.100.70; 03.120.10; 13.020.10

Referenčna oznaka
SIST EN ISO 19011:2018 (sl,en)

Nadaljevanje na straneh II in od 1 do 80

NACIONALNI UVOD

Standard SIST EN ISO 19011 (sl,en), Smernice za presojanje sistemov vodenja (ISO 19011:2018), 2018, ima status slovenskega standarda in je enakovreden evropskemu standardu EN ISO 19011, Guidelines for auditing management systems (ISO 19011:2018), 2018.

NACIONALNI PREDGOVOR

Besedilo standarda EN ISO 19011:2018 je pripravil Projektni odbor ISO/PC 302, *Smernice za presojanje sistemov vodenja.* Slovenski standard SIST EN ISO 19011:2018 je prevod angleškega besedila evropskega standarda EN ISO 19011:2018. V primeru spora glede besedila slovenskega prevoda v tem standardu je odločilen izvirni 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 28. 8. 2018 sprejel SIST/TC VZK Vodenje in zagotavljanje kakovosti.

ZVEZA S STANDARDI

Standard se ne sklicuje na druge standarde.

OSNOVA ZA IZDAJO STANDARDA

– Privzem standarda EN ISO 19011:2018.

PREDHODNA IZDAJA

– SIST EN ISO 19011:2011.

OPOMBE

– Povsod, kjer se v besedilu standarda uporablja izraz "mednarodni standard", v SIST EN ISO 19011:2018 to pomeni "slovenski standard".

– Nacionalni uvod in nacionalni predgovor nista sestavni del standarda.

– Ta nacionalni dokument je istoveten EN ISO 19011:2018 in je objavljen z dovoljenjem

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EVROPSKI STANDARD
EUROPEAN STANDARD
NORME EUROPÉENNE
EUROPÄISCHE NORM

EN ISO 19011

julij 2018

ICS 03.100.70, 03.120.20

Nadomešča EN ISO 19011:2011

Slovenska izdaja

**Smernice za presojanje sistemov vodenja
(ISO 19011:2018)**

Guidelines for auditing
management systems
(ISO 19011:2018)

Lignes directrices pour l'audit
des systèmes de management
(ISO 19011:2018)

Leitfaden zur Auditierung von
Managementsystemen
(ISO 19011:2018)

Ta evropski standard je CEN sprejel 18. junija 2018.

Člani CEN morajo izpolnjevati določila notranjih predpisov CEN/CENELEC, s katerimi je predpisano, da mora biti ta evropski standard brez kakršnih koli sprememb sprejet kot nacionalni standard. Seznami najnovejših izdaj teh nacionalnih standardov in njihovi bibliografski podatki so na zahtevo na voljo pri Upravnem centru CEN-CENELEC ali kateremkoli članu CEN.

Ta evropski standard obstaja v treh uradnih izdajah (angleški, francoski in nemški). Izdaje v drugih jezikih, ki jih člani CEN na lastno odgovornost prevedejo in izdajo ter prijavijo pri Upravnem centru CEN-CENELEC, veljajo kot uradne izdaje.

Člani CEN so nacionalni organi za standarde Avstrije, Belgije, Bolgarije, Cipra, Češke republike, Danske, Estonije, Finske, Francije, Grčije, Hrvaške, Irske, Islandije, Italije, Latvije, Litve, Luksemburga, Madžarske, Malte, Nekdanje jugoslovanske republike Makedonije, Nemčije, Nizozemske, Norveške, Poljske, Portugalske, Romunije, Srbije, Slovaške, Slovenije, Španije, Švedske, Švice, Turčije in Združenega kraljestva.

CEN

Evropski komite za standardizacijo
European Committee for Standardization
Comité Européen de Normalisation
Europäisches Komitee für Normung

Upravni center CEN-CENELEC: Rue de la Science 23, B-1040 Bruselj

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Predgovor k evropskemu standardu

Ta dokument (EN ISO 19011:2018) je pripravil tehnični odbor ISO/PC 302 "Smernice za presojanje sistemov vodenja" v sodelovanju s CCMC.

Ta evropski standard mora z objavo istovetnega besedila ali z razglasitvijo dobiti status nacionalnega standarda najpozneje do januarja 2019, nacionalne standarde, ki so v nasprotju s tem standardom, pa je treba umakniti najpozneje do januarja 2019.

Opozoriti je treba na možnost, da je lahko nekaj elementov tega dokumenta predmet patentnih pravic. CEN ne prevzema odgovornosti za identifikacijo katerihkoli ali vseh takih patentnih pravic.

Ta dokument nadomešča EN ISO 19011:2011.

Ta dokument je bil pripravljen v okviru mandata, ki sta ga Evropska komisija in Evropsko združenje za prosto trgovino (EFTA) dala CEN.

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, Nekdanje jugoslovanske republike Makedonije, Nemčije, Nizozemske, Norveške, Poljske, Portugalske, Romunije, Srbije, Slovaške, Slovenije, Španije, Švedske, Švice, Turčije in Združenega kraljestva.

Razglasitvena objava

Besedilo ISO 19011:2018 je CEN odobril kot EN ISO 19011:2018 brez kakršnih koli sprememb.

European foreword

This document (EN ISO 19011:2018) has been prepared by Technical Committee ISO/PC 302 "Guidelines for auditing management systems" in collaboration with CCMC.

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 January 2019, and conflicting national standards shall be withdrawn at the latest by January 2019.

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. CEN shall not be held responsible for identifying any or all such patent rights.

This document supersedes EN ISO 19011:2011.

This document has been prepared under a mandate given to CEN by the European Commission and the European Free Trade Association.

According to the CEN-CENELEC Internal Regulations, the national standards organizations of the following countries are bound to implement this European Standard: Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, Former Yugoslav Republic of Macedonia, France, Germany, Greece, Hungary, Iceland, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Norway, Poland, Portugal, Romania, Serbia, Slovakia, Slovenia, Spain, Sweden, Switzerland, Turkey and the United Kingdom.

Endorsement notice

The text of ISO 19011:2018 has been approved by CEN as EN ISO 19011:2018 without any modification.

Predgovor

Mednarodna organizacija za standardizacijo (ISO) je svetovna zveza nacionalnih organov za standarde (članov ISO). Mednarodne standarde ponavadi pripravljajo tehnični odbori ISO. Vsak član, ki ga zanima področje, 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).

Postopki, uporabljeni pri pripravi tega dokumenta, in predvideni postopki za njegovo vzdrževanje so opisani v Direktivah ISO/IEC, 1. del. Posebna pozornost naj se nameni različnim kriterijem odobritve, potrebnim za različne vrste dokumentov ISO. Ta dokument je bil pripravljen v skladu z uredniškimi pravili Direktiv ISO/IEC, 2. del (glej www.iso.org/directives).

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Morebitna trgovska imena, uporabljena v tem dokumentu, so informacije za uporabnike in ne pomenijo podpore blagovni znamki.

Obrazložitev prostovoljne narave standardov, pomena specifičnih terminov in izrazov ISO, povezanih z ugotavljanjem skladnosti, ter informacije o tem, kako ISO spoštuje načela Svetovne trgovinske organizacije (WTO) v Tehničnih ovirah pri trgovanju (TBT), je na voljo na povezavi: www.iso.org/iso/foreword.html.

Ta dokument je pripravil Projektni odbor ISO/PC 302, *Smernice za presojanje sistemov vodenja.*

Ta tretja izdaja razveljavlja in nadomešča drugo izdajo (ISO 19011:2011), ki je tehnično revidirana.

Glavne razlike v primerjavi z drugo izdajo so:

Foreword

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.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see www.iso.org/patents).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation on the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT) see the following URL: www.iso.org/iso/foreword.html.

This document was prepared by Project Committee ISO/PC 302, *Guidelines for auditing management systems.*

This third edition cancels and replaces the second edition (ISO 19011:2011), which has been technically revised.

The main differences compared to the second edition are as follows:

– k načelom presojanja je dodan pristop na podlagi tveganj;

– razširjeni so napotki o vodenju programa presoj, vključno s tveganjem programa presoj;

– razširjeni so napotki o izvajanju presoje, zlasti razdelek o načrtovanju presoje;

– razširjene so splošne zahteve glede kompetentnosti presojevalcev;

– terminologija je prilagojena tako, da odraža proces in ne predmeta ("stvari");

– odstranjen je dodatek, ki vsebuje zahteve glede kompetentnosti za presojanje specifičnih strok sistema vodenja (ker obstaja veliko posameznih standardov s področja sistemov vodenja, ne bi bila praktična vključitev zahtev glede kompetentnosti za vse stroke);

– razširitev dodatka A, da se zagotovijo napotki o presojanju (novih) konceptov, kot so kontekst organizacije, vodenje in zavezanost, virtualne presoje, skladnost in oskrbovalna veriga.

– addition of the risk-based approach to the principles of auditing;

– expansion of the guidance on managing an audit programme, including audit programme risk;

– expansion of the guidance on conducting an audit, particularly the section on audit planning;

– expansion of the generic competence requirements for auditors;

– adjustment of terminology to reflect the process and not the object ("thing");

– removal of the annex containing competence requirements for auditing specific management system disciplines (due to the large number of individual management system standards, it would not be practical to include competence requirements for all disciplines);

– expansion of Annex A to provide guidance on auditing (new) concepts such as organization context, leadership and commitment, virtual audits, compliance and supply chain.

Uvod

Od objave druge izdaje tega dokumenta v letu 2011 je bilo objavljenih več novih standardov s področja sistemov vodenja, od katerih imajo mnogi skupno strukturo, enake temeljne zahteve ter skupne izraze in osnovne definicije. Zato je treba razmisliti o širšem pristopu k presojanju sistemov vodenja, pa tudi o splošnejših navodilih. Rezultati presoje lahko prispevajo k vidiku analize poslovnega načrtovanja ter k opredelitvi potreb in aktivnosti za izboljševanje.

Presojo je mogoče izvesti glede na vrsto kriterijev presoje, ločeno ali v kombinaciji, kar med drugim vključuje:

– zahteve, določene v enem ali več standardih s področja sistemov vodenja;

– politiko in zahteve, ki jih določijo zadevne zainteresirane strani;

– zakonske in regulativne zahteve;

– enega ali več procesov sistema vodenja, ki jih določi organizacija ali druge stranke;

– načrt(-i) sistema vodenja v zvezi z zagotavljanjem specifičnih rezultatov sistema vodenja (npr. plan kakovosti, projektni načrt).

Ta dokument podaja napotke za organizacije vseh vrst in velikosti ter presoje različnih obsegov, vključno s tistimi, ki jih izvajajo velike presojevalne skupine, ponavadi v okviru večjih organizacij, in s presojami posameznih presojevalcev, ki se izvajajo v okviru večjih ali manjših organizacij. Ti napotki naj se ustrezno prilagodijo obsegu, kompleksnosti in obsežnosti programa presoj.

Ta dokument se osredotoča na notranje presoje (prva stranka) in presoje, ki jih izvajajo organizacije pri svojih zunanjih ponudnikih in drugih zunanjih zainteresiranih straneh (druga stranka). Ta dokument se lahko uporablja tudi za zunanje presoje, ki se ne izvajajo z namenom certificiranja sistemov vodenja tretjih strank. ISO/IEC 17021-1 podaja zahteve za presojanje sistemov vodenja za certificiranje tretjih strank; v tem dokumentu so lahko podani uporabni dodatni napotki (glej preglednico 1).

Introduction

Since the second edition of this document was published in 2011, a number of new management system standards have been published, many of which have a common structure, identical core requirements and common terms and core definitions. As a result, there is a need to consider a broader approach to management system auditing, as well as providing guidance that is more generic. Audit results can provide input to the analysis aspect of business planning, and can contribute to the identification of improvement needs and activities.

An audit can be conducted against a range of audit criteria, separately or in combination, including but not limited to:

– requirements defined in one or more management system standards;

– policies and requirements specified by relevant interested parties;

– statutory and regulatory requirements;

– one or more management system processes defined by the organization or other parties;

– management system plan(s) relating to the provision of specific outputs of a management system (e.g. quality plan, project plan).

This document provides guidance for all sizes and types of organizations and audits of varying scopes and scales, including those conducted by large audit teams, typically of larger organizations, and those by single auditors, whether in large or small organizations. This guidance should be adapted as appropriate to the scope, complexity and scale of the audit programme.

This document concentrates on internal audits (first party) and audits conducted by organizations on their external providers and other external interested parties (second party). This document can also be useful for external audits conducted for purposes other than third party management system certification. ISO/IEC 17021-1 provides requirements for auditing management systems for third party certification; this document can provide useful additional guidance (see Table 1).

Preglednica 1: Različne vrste presoj

Presoja prve stranke	Presoja druge stranke	Presoja tretje stranke
Notranja presoja	Presoja zunanjega ponudnika	Presoja za certificiranje in/ali akreditacijo
	Presoja druge zunanje zainteresirane strani	Zakonska, regulativna in podobna presoja

Table 1 – Different types of audits

1st party audit	2nd party audit	3rd party audit
Internal audit	External provider audit	Certification and/or accreditation audit
	Other external interested party audit	Statutory, regulatory and similar audit

Za poenostavitev berljivosti tega dokumenta je uporabljena edninska oblika "sistem vodenja", bralec pa lahko izvajanje napotkov prilagodi svojim razmeram. To velja tudi za uporabo izrazov "posameznik" in "posamezniki" ter "presojevalec" in "presojevalci".

Ta dokument je namenjen širokemu krogu morebitnih uporabnikov, vključno s presojevalci, organizacijami, ki izvajajo sisteme vodenja, in organizacijami, ki morajo izvajati presoje sistemov vodenja iz pogodbenih ali regulativnih razlogov. Uporabniki tega dokumenta lahko te napotke uporabljajo tudi za pripravo lastnih zahtev v zvezi s presojo.

Napotki iz tega dokumenta se lahko uporabljajo tudi za samodeklariranje in lahko koristijo organizacijam, ki so vključene v usposabljanje presojevalcev ali certificiranje osebja.

Uporaba napotkov v tem dokumentu se lahko prilagaja. Kot je razvidno iz različnih delov besedila, se lahko uporaba teh napotkov razlikuje glede na velikost in stopnjo zrelosti sistema vodenja organizacije. Upoštevajo naj se tudi narava in kompleksnost presojane organizacije ter tudi cilji in obseg predvidenih presoj.

V tem dokumentu je uporabljen kombiniran pristop k presoji, v okviru katerega se hkrati izvaja presoja dveh ali več sistemov vodenja iz različnih strok. Kadar so ti sistemi povezani v en sistem vodenja, so načela in procesi presojanja enaki kot pri kombinirani presoji (to se včasih imenuje integrirana presoja).

To simplify the readability of this document, the singular form of "management system" is preferred, but the reader can adapt the implementation of the guidance to their own situation. This also applies to the use of "individual" and "individuals", "auditor" and "auditors".

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

The guidance in this document 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 document 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. The nature and complexity of the organization to be audited, as well as the objectives and scope of the audits to be conducted, should also be considered.

This document adopts the combined audit approach when two or more management systems of different disciplines are audited together. Where these systems are integrated into a single management system, the principles and processes of auditing are the same as for a combined audit (sometimes known as an integrated audit).

Ta dokument podaja napotke za vodenje programa presoj, načrtovanje in izvajanje presoj sistemov vodenja ter za kompetentnost in vrednotenje presojevalca in presojevalne skupine.

This document provides guidance on the management of an audit programme, on the planning and conducting of management system audits, as well as on the competence and evaluation of an auditor and an audit team.

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Smernice za presojanje sistemov vodenja

Guidelines for auditing management systems

1 Področje uporabe

Ta dokument podaja napotke o presojanju sistemov vodenja, vključno z načeli presojanja, vodenjem programa presoj in izvajanjem presoj sistema vodenja ter tudi napotke za vrednotenje kompetentnosti posameznikov, zajetih v proces presoje. Te aktivnosti vključujejo posameznike, ki vodijo program presoje, presojevalce in presojevalne skupine.

Uporaben je v vseh organizacijah, v katerih obstaja potreba po načrtovanju in izvajanju notranje ali zunanje presoje sistemov vodenja ali vodenja programa presoj.

Ta dokument se lahko uporablja pri drugih vrstah presoj, če je pri tem posebna pozornost namenjena specifični kompetentnosti, ki je potrebna zanje.

1 Scope

This document 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. These activities include the individual(s) managing the audit programme, auditors and audit teams.

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

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

2 Zveza s standardi

Ta dokument se ne sklicuje na druge standarde.

2 Normative references

There are no normative references in this document.

3 Izrazi in definicije

V tem dokumentu se uporabljajo naslednji izrazi in definicije.

3 Terms and definitions

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

ISO in IEC vzdržujeta terminološke zbirke podatkov za uporabo v standardizaciji na naslednjih naslovih:

ISO and IEC maintain terminological databases for use in standardization at the following addresses:

– brskanje po spletni strani ISO: na voljo na https://www.iso.org/obp

– IEC Electropedia: na voljo na http://www.electropedia.org/

– ISO Online browsing platform: available at https://www.iso.org/obp

– IEC Electropedia: available at http://www.electropedia.org/

3.1
presoja
sistematičen, neodvisen in dokumentiran proces pridobivanja *stvarnih dokazov* (3.8) in njihovega objektivnega vrednotenja, da bi se določil obseg, v katerem so izpolnjeni *kriteriji presoje* (3.7)

3.1
audit
systematic, independent and documented process for obtaining *objective evidence* (3.8) and evaluating it objectively to determine the extent to which the *audit criteria* (3.7) are fulfilled

Opomba 1: Notranje presoje, včasih imenovane presoje prve stranke, izvaja organizacija sama ali nekdo v njenem imenu.

Opomba 2: Zunanje presoje vključujejo to, kar se običajno imenuje presoja druge in tretje stranke. Presoje druge stranke izvajajo stranke, ki so zainteresirane za organizacijo, npr. odjemalci, ali drugi posamezniki v njihovem imenu. Presoje tretje stranke izvajajo neodvisne presojevalne

Note 1 to entry: Internal audits, sometimes called first party audits, are conducted by, or on behalf of, the organization itself.

Note 2 to entry: External audits include those generally called second and third party audits. Second party audits are conducted by parties having an interest in the organization, such as customers, or by other individuals on their behalf. Third party audits are conducted by independent auditing organizations, such as

organizacije, kot so organizacije, ki izvajajo certifikacijo/registracijo skladnosti, ali vladne agencije.

those providing certification/registration of conformity or governmental agencies.

[VIR: ISO 9000:2015, 3.13.1, spremenjen – Opombi sta spremenjeni]

[SOURCE: ISO 9000:2015, 3.13.1, modified — Notes to entry have been modified]

3.2
kombinirana presoja
presoja (3.1), ki se pri enem samem *presojancu* (3.13) izvaja hkrati na dveh ali več *sistemih vodenja* (3.18)

Opomba 1: Kadar sta dva ali več sistemov vodenja za specifično stroko združena v en sistem vodenja, se to imenuje integriran sistem vodenja.

[VIR: ISO 9000:2015, 3.13.2, spremenjen]

3.2
combined audit
audit (3.1) carried out together at a single *auditee* (3.13) on two or more *management systems* (3.18)

Note 1 to entry: When two or more discipline-specific management systems are integrated into a single management system this is known as an integrated management system.

[SOURCE: ISO 9000:2015, 3.13.2, modified]

3.3
skupna presoja
presoja (3.1), ki jo pri enem *presojancu* (3.13) izvajata dve ali več presojevalskih organizacij

[VIR: ISO 9000:2015, 3.13.3]

3.3
joint audit
audit (3.1) carried out at a single *auditee* (3.13) by two or more auditing organizations

[SOURCE: ISO 9000:2015, 3.13.3]

3.4
program presoj
uredivte za skupek ene ali več *presoj* (3.1), načrtovanih v specifičnem časovnem okviru in usmerjenih v specifičen namen

[VIR: ISO 9000:2015, 3.13.4, spremenjen – Definiciji je dodano besedilo]

3.4
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

[SOURCE: ISO 9000:2015, 3.13.4, modified — wording has been added to the definition]

3.5
obseg presoje
obseg in meje *presoje* (3.1)

Opomba 1: Obseg presoje navadno vključuje opis fizičnih in virtualnih lokacij, funkcij, organizacijskih enot, aktivnosti in procesov ter tudi časovni okvir.

Opomba 2: Virtualna lokacija je mesto, kjer organizacija opravlja delo ali zagotavlja storitev z uporabo spletnega okolja, ki posameznikom omogoča izvajanje procesov ne glede na fizične lokacije.

[VIR: ISO 9000:2015, 3.13.5, spremenjen – Opomba 1 je spremenjena; dodana je opomba 2]

3.5
audit scope
extent and boundaries of an *audit* (3.1)

Note 1 to entry: The audit scope generally includes a description of the physical and virtual-locations, functions, organizational units, activities and processes, as well as the time period covered.

Note 2 to entry: Virtual location is where an organization performs work or provides a service using an on-line environment allowing individuals irrespective of physical locations to execute processes.

[SOURCE: ISO 9000:2015, 3.13.5, modified — Note 1 to entry has been modified, Note 2 to entry has been added]

3.6
plan presoje
opis aktivnosti in ureditev za *presojo* (3.1)

[VIR: ISO 9000:2015, 3.13.6]

3.6
audit plan
description of the activities and arrangements for an *audit* (3.1)

[SOURCE: ISO 9000:2015, 3.13.6]

3.7
kriteriji presoje
skupek *zahtev* (3.23), ki se uporabljajo kot referenčna podlaga, s katero se primerjajo *stvarni dokazi* (3.8)

Opomba 1: Če so kriteriji presoje zakonske zahteve (vključno z regulativnimi), se besedi "skladnost" oziroma "neskladnost" pogosto uporabljata v *ugotovitvi presoje* (3.10).

Opomba 2: Zahteve lahko vključujejo politike, postopke, navodila za delo, zakonske zahteve, pogodbene obveznosti itd.

[VIR: ISO 9000:2015, 3.13.7, spremenjen – Definicija je spremenjena, dodani sta opombi 1 in 2]

3.8
stvarni dokazi
podatki, ki podpirajo obstoj ali resničnost nečesa

Opomba 1: Stvarni dokazi se lahko dobijo z opazovanjem, merjenjem, preskusi ali z drugimi sredstvi.

Opomba 2: Stvarne dokaze za namen *presoje* (3.1) na splošno sestavljajo zapisi, navedbe dejstev ali druge informacije, ki so v zvezi s *kriteriji presoje* (3.7) in so preverljive.

[VIR: ISO 9000:2015, 3.8.3]

3.9
dokazi presoje
zapisi, navedbe dejstev ali druge informacije, ki so v zvezi s *kriteriji presoje* (3.7) in jih je mogoče preveriti

[VIR: ISO 9000:2015, 3.13.8]

3.10
ugotovitve presoje
rezultati vrednotenja zbranih *dokazov presoje* (3.9) glede na *kriterije presoje* (3.7)

Opomba 1: Ugotovitve presoje pokažejo *skladnost* (3.20) ali *neskladnost* (3.21).

Opomba 2: Ugotovitve presoje lahko vodijo k opredelitvi tveganja, priložnostim za izboljševanje ali zapisovanju dobrih praks.

Opomba 3: Če so kriteriji presoje izbrani na podlagi zakonskih ali regulativnih zahtev, se v angleščini ugotovitev presoje imenuje skladnost oziroma neskladnost.

[VIR: ISO 9000:2015, 3.13.9, spremenjen – Opombi 2 in 3 sta spremenjeni]

3.7
audit criteria
set of *requirements* (3.23) used as a reference against which *objective evidence* (3.8) is compared

Note 1 to entry: If the audit criteria are legal (including statutory or regulatory) requirements, the words "compliance" or "non-compliance" are often used in an *audit finding* (3.10).

Note 2 to entry: Requirements may include policies, procedures, work instructions, legal requirements, contractual obligations, etc.

[SOURCE: ISO 9000:2015, 3.13.7, modified — the definition has been changed and Notes to entry 1 and 2 have been added]

3.8
objective evidence
data supporting the existence or verity of something

Note 1 to entry: Objective evidence can be obtained through observation, measurement, test or by other means.

Note 2 to entry: Objective evidence for the purpose of the *audit* (3.1) generally consists of records, statements of fact, or other information which are relevant to the *audit criteria* (3.7) and verifiable.

[SOURCE: ISO 9000:2015, 3.8.3]

3.9
audit evidence
records, statements of fact or other information, which are relevant to the *audit criteria* (3.7) and verifiable

[SOURCE: ISO 9000:2015, 3.13.8]

3.10
audit findings
results of the evaluation of the collected *audit evidence* (3.9) against *audit criteria* (3.7)

Note 1 to entry: Audit findings indicate *conformity* (3.20) or *nonconformity* (3.21).

Note 2 to entry: Audit findings can lead to the identification of risks, opportunities for improvement or recording good practices.

Note 3 to entry: In English if the audit criteria are selected from statutory requirements or regulatory requirements, the audit finding is termed compliance or non-compliance.

[SOURCE: ISO 9000:2015, 3.13.9, modified — Notes to entry 2 and 3 have been modified]