

ISO 19011 Auditing Management Systems



Syllabus

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PEOPLECERT

The Experts in certifying Professionals

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1. Introduction

ISO 19011:2011: Guidelines for Auditing Management Systems is the recognized International standard, which provides guidance on the management of audit programs, the conduct of internal or external audits of management systems, as well as on the competence and evaluation of auditors (recently revised standard). **ISO 19011:2011** has been revised to provide auditors, organizations implementing management systems and organizations needing to conduct audits of management systems an opportunity to re-assess their own practices and identify improvement opportunities.

ISO 19011:2011 is applicable to all organizations that need to conduct internal or external audits of management systems or manage an audit program. The application of ISO 19011:2011 to other types of audits is possible, provided that special consideration is given to the specific competence needed.

Many series of International standards emphasize the importance of audits within an organization's management systems and related policy, which makes the need to demonstrate competence in applying all 19011 guidelines for management systems auditing quite compelling. The **ISO 19011:2011** standard for management systems auditing allows an organization to apply the standard on a flexible basis, as the use of these particular guidelines can vary according to the size, nature and complexity of the organizations to be audited, as well as the objectives and scopes of the audits to be conducted.

Peoplecert's ISO 19011 Exam covers the **knowledge** required for a candidate to prove a solid understanding of the content and the guidelines of the international standard, **ISO 19011: Guidelines for Auditing management systems**. Please note that this exam does **not** lead to a stand-alone certification but leads to certification at an Auditor level. This means, that this exam can be used in combination with **any** of the other **Professional Level** ISO certification exams provided by Peoplecert in order to lead to a desired **Auditor¹ grade** in the particular ISO, as for example with ISO/IEC 20000.

2. Target Group/Audience

This qualification is a stand-alone exam on any ISO/IEC certification schemes provided by Peoplecert, at a Professional level, and is aimed at anyone who desires to demonstrate abilities at an **Auditor¹ level** which can lead to a specific **Auditor grade¹**. The exam can also cater for candidates seeking personal recognition in the Auditor level, also in regards to their knowledge and understanding of the requirements and the content of the standard in combination with one of the other ISO standards, and more specifically:

- (a) ISO 9001
- (b) ISO 14001
- (c) ISO/IEC 20000
- (d) ISO/IEC 22000
- (e) ISO/IEC 27000

¹ All **auditor** grades require holding a Professional Level certification in another standard, while based on the desired grade, as per Peoplecert's certification scheme, it may be required to successfully sit an additional Personal Attribute Assessment Test to gain the top level grades in this field. Eligibility requirements per grade are detailed in the **Candidate Certification Guide** document available through Peoplecert's official website (www.peoplecert.org).

3. Learning Objectives

As this is a stand-alone **Exam**, candidates will be introduced to the principles and core elements of the ISO 19011 standard in regards to **Guidelines for Auditing management systems**, and more specifically:

- **ISO 19011:2011** guidance on auditing management systems, including the principles of auditing, managing audit programs and conducting management system audits, as well as guidance on the evaluation of competence of individuals involved in the audit process including those responsible for audit program management, auditors and audit teams.

In order to successfully pass the exam on **ISO 19011: Guidelines for Auditing management systems** candidates will need to demonstrate their knowledge, ability, competence and understanding in:

- Principles of credible auditing and the essential nature of auditing.
- Establishing and Managing audit programs, and more specifically:
 - assigning responsibility for managing audit programs,
 - establishing the audit program objectives,
 - coordinating auditing activities and
 - providing sufficient audit team resources.
- Conducting audits of any type of management systems and selecting audit teams.
- Understand competencies needed by an auditor.
- Describe the process for evaluating management system auditors.
- Understand how the guidance is applied to different disciplines (i.e. quality, environmental, security etc.)

4. Examination

The **ISO 19011 Exam** is designed to validate a candidate's knowledge of the contents, requirements and guidelines of the standard and will allow for further development along the Auditor certification path (**ISO 19011: Guidelines for Auditing management systems**) after achieving the Professional level on another standard provided by Peoplecert.

The exam focuses on the following categories in the cognitive domain of **Bloom's taxonomy**²:

- **Knowledge**
- **Comprehension**
- **Apply**
- **Analyze**

² *The Bloom's taxonomy defines **six** (6) levels of learning in the **cognitive** domain (know, comprehend, apply, analyze, evaluate, create), which are both sequential and cumulative and move from the simple to the complex. In order to achieve the 6th level of learning, it must be ensured that the previous five levels have been mastered.*

4.1 Entry Criteria/Training Requirements

There **are** specific entry criteria in order for a candidate to be eligible to sit an ISO 19011 examination. Even though this examination is **not a stand-alone** certification and **does not lead** to any certificate on its own it requires that a candidate

- (a) holds a PEOPLECERT ISO standard certificate at the Professional level, and
- (b) meets all other eligibility^[1] requirements for the desired Auditor grade, for which a formal application has been submitted.

The candidates need to hold extensive knowledge of auditing management systems along with the appropriate concepts and terminology and have undergone some formal training on the subject. However, it is **mandatory** that candidates attend formal and accredited training on the subject, with a proposed duration of **16 to 24 hours**. A detailed breakdown of these training hours, per topic area is provided in the syllabus section.

4.2 Assessment Approach

The assessment approach used focuses on the basic categories of Knowledge, Comprehension, Application and Analysis. **Knowledge** is defined as recalling previously learned material, from facts to theories and represents the lowest level of learning outcomes in the cognitive domain. Such learning outcomes are turned in assessment objectives that include knowing and recalling such as:

- Common and/or basic terms, definitions, concepts and principles
- Specific compliance requirements and facts
- Processes, procedures and assessment methods

Comprehension is the lowest level of understanding and entails the ability to grasp the meaning of the material taught, including some sort of interpretation, translation or estimation during the process. Such learning outcomes and in turn assessment objectives go beyond simply recalling information and may include:

- Understanding facts, concepts and principles
- Interpreting material (i.e. charts, graphs, text)
- Justifying a Process, procedure and assessment method

Application is a level where candidates need to combine their knowledge and understanding/comprehension on a subject and be able to create an abstraction. More specifically, candidates are expected to apply their knowledge and understanding so that abstractions, general principles, or methods to specific concrete situations are made. Such learning outcomes and in turn assessment objectives go beyond simply recalling information and may include:

- use ideas, principles and theories in new, particular and concrete situations
- being able to choose appropriate procedures, apply principles, use a specific approach or identify the selection of options at a given situation
- apply what is learnt into a new situation
- apply rules, methods, concepts, principles, laws, and theories

Learning outcomes in this area require a higher level of understanding than those under comprehension

Analysis is the level that goes beyond application as the candidates need to be able to

^[1] Eligibility requirements per grade are detailed in the **Candidate Certification Guide** document available through Peoplecert's official website (www.peoplecert.org)

break down information into its component parts so that its organizational structure may be understood and to make inferences. More specifically, candidates need to break down, discriminate, diagram, detect, differentiate and illustrate which are all important tasks at this level of learning and include the previous levels of knowing, comprehending and applying. Such learning outcomes and in turn assessment objectives go beyond knowing, understanding and applying and may include:

- see patterns that they can use to analyze a problem
- develop divergent conclusions by identifying motives or causes
- make inferences
- find evidence to support generalizations
- identify parts, analyze the relationship between parts, and recognize the organizational principles involved

Learning outcomes here represent a higher intellectual level than comprehension and application because they require an understanding of both the content and the structural form of the material.

The assessment incorporates the above learning outcomes as it uses assessment objectives that cater for the above cognitive domain categories.

4.3 Examination Format

The following table details the examination format:

Delivery	Computer (web) or Paper based
Type	40 Multiple choice questions <i>Single answer, one of four possible answers</i> <i>Each question is awarded one (1) mark</i>
Duration	1 hour (60 minutes) <i>For non-native speakers or candidates with a disability, an additional 15 minutes of extra time is allowed.</i>
Pass Mark	65% (26/40)
Invigilator / Supervisor / Proctor	Yes <i>Physical or Web proctoring</i>
Open Book	No <i>No materials are allowed in the examination room</i>
Prerequisites	As per Candidate Certification Manual & 16-24 hours accredited formal training
Distinction	N/A

The tests are derived from a regularly updated question test bank (QTB) based on the test specification detailed below. Questions are used interchangeably among test sets. The overall difficulty level of each test is the same with any other test. A candidate is never assigned the same test in the case of multiple examination attempts.

4.4 Detailed Syllabus

The syllabus contains references to the established **ISO 19011:2011** standard and is structured into sections relating to **major subject headings** and numbered with a single digit section number. The **recommended training hours, per Syllabus Category** are also provided in this table.

ISO 19011 Guidelines for Auditing management systems		
Category	Ref	Knowledge Set
AUDIT-5.1 Introduction, Terms and Definitions	AUDIT-5.1.1	Terminology
	AUDIT-5.1.2	Scope of ISO 19011
<i>Proposed Training Time: 1 ½ – 2 ½ hours</i>		
AUDIT-5.2 Standard Requirements	AUDIT-5.2.1	Managing an audit program (Standard Chapter 5)
	AUDIT-5.2.2	Audit activities (Standard Chapter 6)
	AUDIT-5.2.3	Competence and evaluation of auditors (Standard Chapter 7)
	AUDIT-5.2.4	Audit activities, Competence and evaluation of auditors (Standard Chapter 6, Standard Chapter 7)
<i>Proposed Training Time: 9 ½ – 13 ½ hours</i>		
AUDIT-5.3 Standard application	AUDIT-5.3.1	Audit situations
<i>Proposed Training Time: 5 – 8 hours</i>		
<i>Total Training Time: 16 - 24 hours</i>		

4.5 Test Specification

The examination consists of **three (3)** sections with the following structure:

Section	Description	Exam (%)
1	AUDIT-5.1 Terms and Definitions	10.0%
2	AUDIT-5.2 Standard Requirements	57.5%
3	AUDIT-5.3 Standard application	32.5%
<i>Total</i>		100%

More specifically, a total of **40** questions are divided along the syllabus categories and items as described by the detailed exam specification table in the following page.

Section	Description	Exam %	
1	AUDIT-5.1 Terms and Definitions	4 questions	10.0%
	<i>AUDIT-5.1.1 Terminology</i>	10.0%	
	<i>AUDIT-5.1.2 Scope of ISO 19011</i>		
2	AUDIT-5.2 Standard Requirements	23 questions	57.5%
	<i>AUDIT-5.2.1 Managing an audit program (Standard Chapter 5)</i>	2.5%	
	<i>AUDIT-5.2.2 Audit activities (Standard Chapter 6)</i>	40.0%	
	<i>AUDIT-5.2.3 Competence and evaluation of auditors (Standard Chapter 7)</i>	10.0%	
	<i>AUDIT-5.2.4 Audit activities, Competence and evaluation of auditors (Standard Chapter 6, Standard Chapter 7)</i>	5.0%	
3	AUDIT-5.3 Standard application	13 questions	32.5%
	<i>AUDIT-5.3.1 Audit situations</i>	32.5%	
Totals		40 questions	100.0%

5. Suggested Bibliography

- (i) ISO copy of the standard for this certification/examination
ISO 19011:2011 Guidelines for Auditing management systems auditing. Switzerland, ISO, 2011.
ISO 19011:2002 Guidelines for quality and/or environmental management systems auditing. Switzerland, ISO, 2002.
- (ii) ISO 2859-4, Sampling procedures for inspection by attributes — Part 4: Procedures for assessment of declared quality levels.
- (iii) ISO 9000:2005, Quality management systems — Fundamentals and vocabulary. Switzerland, ISO, 2005.
- (iv) ISO 9001:2008, Quality management systems – Requirements Switzerland, ISO, 2008.
- (v) ISO 14001:2004, Environmental management systems -- Requirements with guidance for use. Switzerland, ISO, 2008.
- (vi) ISO 14050:2009, Environmental management — Vocabulary. Switzerland, ISO, 2009.
- (vii) ISO/IEC 17021:2011, Conformity assessment — Requirements for bodies providing audit and certification of management systems. Switzerland, ISO, 2011
- (viii) ISO/IEC 20000-1, Information technology — Service management — Part 1: Service management system requirements, Switzerland, ISO, 2011.
- (ix) ISO 22000:2005, Food safety management systems -- Requirements for any organization in the food chain. Switzerland, ISO, 2005.
- (x) ISO/IEC 27001:2005, Information technology -- Security techniques -- Information security management systems – Requirements. Switzerland, ISO, 2005.
- (xi) ISO 31000:2009, Risk management -- Principles and guidelines. Switzerland, ISO, 2009.
- (xii) OSHSAS 18001:2007, Occupational Health and Safety Management Systems – Specifications.
- (xiii) ISO/IEC 17021:2006, Conformity assessment -- Requirements for bodies providing audit and certification of management systems. Switzerland, ISO, 2006.
- (xiv) ISO/CD 30301, Information and documentation -- Management system for records – Requirements (to be published).
- (xv) ISO 9001 Auditing Practices Group (APG) Papers available at: www.iso.org/tc176/ISO9001AuditingPracticesGroup
ISO 19011 additional guidelines2 available at: www.iso.org/19011auditing
- (xvi) Carter, Nigel (2003). Auditing the ISO 19011 Way. London: BSI, British Standards Institute.
- (xvii) Moeller, Robert. (2009). Brink's Modern Internal Auditing. A Common Body of Knowledge. USA: John Wiley and Sons.
- (xviii) Moeller, Robert. (2010). IT Audit, Control, and Security. USA: John Wiley and Sons.

6. Glossary

Audit	<p>Systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which the audit criteria (3.2) are fulfilled.</p> <p>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.</p> <p>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 audits are conducted by independent auditing organizations, such as regulators or those providing certification.</p> <p>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.</p> <p>NOTE 4 When two or more auditing organizations cooperate to audit a single auditee (3.7), this is termed a joint audit.</p> <p>NOTE 5 Adapted from ISO 9000:2005, definition 3.9.1.</p>
Audit criteria	<p>Set of policies, procedures or requirements used as a reference against which audit evidence is compared.</p> <p>NOTE 1 Adapted from ISO 9000:2005, definition 3.9.3.</p> <p>NOTE 2 If the audit criteria are legal (including statutory or regulatory) requirements, the terms "compliant" or "noncompliant" are often used in an audit finding.</p>
Audit evidence	<p>Records, statements of fact or other information, which are relevant to the audit criteria and verifiable.</p> <p>NOTE Audit evidence may be qualitative or quantitative.</p>
Audit findings	<p>Results of the evaluation of the collected audit evidence against audit criteria.</p> <p>NOTE 1 Audit findings indicate conformity or nonconformity.</p> <p>NOTE 2 Audit findings can lead to the identification of opportunities for improvement or recording good practices.</p> <p>NOTE 3 If the audit criteria are selected from legal or other requirements, the audit finding is termed compliance or non-compliance.</p> <p>NOTE 4 Adapted from ISO 9000:2005, definition 3.9.5.</p>
Audit conclusion	<p>Outcome of an audit, after consideration of the audit objectives and all audit findings.</p> <p>NOTE Adapted from ISO 9000:2005, definition 3.9.6</p>
Audit client	<p>Organization or person requesting an audit,</p> <p>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.</p> <p>NOTE 2 Adapted from ISO 9000:2005, definition 3.9.7.</p>
Auditee	<p>Organization being audited. [ISO 9000:2005, definition 3.9.8]</p>
Auditor	<p>Person who conducts an audit.</p>
Audit team	<p>One or more auditors conducting an audit, supported if needed by technical experts.</p> <p>NOTE 1 One auditor of the audit team is appointed as the audit team leader.</p> <p>NOTE 2 The audit team may include auditors-in-training.</p>
Technical expert	<p>Person who provides specific knowledge or expertise to the audit team.</p> <p>NOTE 1 Specific knowledge or expertise is that which relates to the organization, the process or activity to be audited, or language or culture.</p>

	NOTE 2 A technical expert does not act as an auditor in the audit team. [ISO 9000:2005, definition 3.9.11]
Observer	Person who accompanies the audit team but does not audit NOTE 1 An observer is not a part of the audit team and does not influence or interfere with the conduct of the audit. NOTE 2 An observer can be from the auditee, a regulator or other interested party who witnesses the audit.
Guide	Person appointed by the auditee to assist the audit team.
Audit program	Arrangements for a set of one or more audits planned for a specific time frame and directed towards a specific purpose. NOTE Adapted from ISO 9000:2005, definition 3.9.2.
Audit scope	Extent and boundaries of an audit. 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].
Audit plan	Description of the activities and arrangements for an audit. [ISO 9000:2005, definition 3.9.12]
Risk	Effect of uncertainty on objectives. NOTE Adapted from ISO Guide 73:2009, definition 1.1.
Competence	Ability to apply knowledge and skills to achieve intended results. NOTE ability implies the appropriate application of personal behavior during the audit process
Conformity	Fulfillment of a requirement. [ISO 9000:2005, 3.6.1]
Nonconformity	Non-fulfillment of a requirement. [ISO 9000:2005 3.6.2]
Management system	System to establish policy and objectives and to achieve those objectives. 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, definition 3.2.2]