

AS 3911.2(Int)—1990

*SS BY A.C. 3911.2-1990*

**Interim Australian Standard®**  
**AS 3911.2(Int)—1990** (Expires 1 March 1992)

---

**Guidelines for auditing quality systems**

**Part 2: Qualification criteria for auditors**

---

3911.2—1992 Qualification criteria for auditors  
(NZS 10011.2:1992/ISO 10011-2:1991) 6pp C  
(In Professional Package 46).  
Sets out qualification criteria for the selection of auditors to perform quality systems audits in accordance with AS 3911.1. This Standard is identical with and reproduced from ISO 10011-2:1991. Identical with NZS 10011.2:1992 and produced as a Joint Australian/New Zealand Standard.  
Committee OR/6: Supersedes AS 3911.2(Int)—1990: Publication date 1992-06-15: ISBN 0 7222 7429 2.



**STANDARDS AUSTRALIA**



This Interim Australian Standard was prepared by Committee QR/6, Quality Assessments and Audits. It was approved on behalf of the Council of Standards Australia on 9 January 1990 and published on 12 March 1990.

*Review of Australian Standards.* To keep abreast of progress in industry, Australian Standards are subject to periodic review and are kept up-to-date by the issue of amendments or new editions as necessary. It is important therefore that Standards users ensure that they are in possession of the latest edition, and any amendments thereto.

*Full details of all Australian Standards and related publications will be found in the Standards Australia Catalogue of Publications; this information is supplemented each month by the magazine 'The Australian Standard', which subscribing members receive, and which gives details of new publications, new editions and amendments, and of withdrawn Standards.*

*Suggestions for improvements to Australian Standards, addressed to the head office of Standards Australia, are welcomed. Notification of any inaccuracy or ambiguity found in an Australian Standard should be made without delay in order that the matter may be investigated and appropriate action taken.*

**Interim Australian Standard®  
AS 3911.2(Int)—1990**

---

**Guidelines for auditing quality  
systems**

**Part 2: Qualification criteria for  
auditors**

---

First published as AS 3911.2(Int)—1990.

## PREFACE

This interim Australian Standard was prepared by the Standards Australia Committee on Quality Assessments and Audits under the direction of the Quality and Reliability Standards Board. It is identical with ISO/DIS 10011, *Guidelines for auditing quality systems, Part 2: Qualification criteria for auditors*.

The Australian Committee provided input to the International Committee, ISO/TC 176, in the preparation of Parts 1, 2 and 3 of the draft international Standard (ISO/DIS 10011). Following a review of these drafts, it was decided that they should be adopted as interim Australian Standards in order to facilitate their usage in Australia, and to assist with the introduction of the National Accreditation Scheme for Quality Management Systems.

For the purpose of this interim Australian Standard, the ISO text should be modified such that references to 'ISO 10011' are read as 'AS 3911'.

Standards Australia invites comment on this Interim Australian Standard from persons and organizations concerned with this subject. The date of expiry for comment is 1 March 1992, at which time this interim Australian Standard will either be withdrawn or revised in the light of public comment, with the view to the preparation of an Australian Standard.

---

During the life of this document the Committee will monitor all comment or field data as it is received.

Attention is drawn to the fact that this document is an interim Australian Standard only, and should be regarded as a draft Standard and hence liable to alteration after the expiry date.

This document is not to be regarded as an Australian Standard until issued as such by Standards Australia.

## CONTENTS

	<i>Page</i>
0 INTRODUCTION ....	4
1 SCOPE ....	5
2 NORMATIVE REFERENCE ....	5
3 DEFINITIONS ....	5
4 EDUCATION ....	5
5 TRAINING ....	5
6 EXPERIENCE ....	5
7 PERSONAL ATTRIBUTES ....	5
8 MANAGEMENT CAPABILITIES ....	6
9 MAINTENANCE OF COMPETENCE ....	6
10 LANGUAGE ....	6
11 SELECTION OF LEAD AUDITOR ....	6
 ANNEX A. EVALUATING AUDITOR CANDIDATES ....	 7
ANNEX B. NATIONAL AUDITOR CERTIFICATION ....	9

### © Copyright — STANDARDS AUSTRALIA

Users of Standards are reminded that copyright subsists in all Standards Australia publications and software. Except where the Copyright Act allows and except where provided for below no publications or software produced by Standards Australia may be reproduced, stored in a retrieval system in any form or transmitted by any means without prior permission in writing from Standards Australia. Permission may be conditional on an appropriate royalty payment. Requests for permission and information on commercial software royalties should be directed to the Head Office of Standards Australia.

Standards Australia will permit up to 10 percent of the technical content pages of a Standard to be copied for use exclusively in-house by purchasers of the Standard without payment of a royalty or advice to Standards Australia.

Standards Australia will also permit the inclusion of its copyright material in computer software programs for no royalty payment provided such programs are used exclusively in-house by the creators of the programs.

Care should be taken to ensure that material used is from the current edition of the Standard and that it is updated whenever the Standard is amended or revised. The number and date of the Standard should therefore be clearly identified.

The use of material in print form or in computer software programs to be used commercially, with or without payment, or in commercial contracts is subject to the payment of a royalty. This policy may be varied by Standards Australia at any time.

## **Introduction**

In order that quality systems audits are carried out effectively and uniformly as defined in Part 1 of ISO 10011, minimum criteria are required to qualify auditors. This part of ISO 10011 describes these minimum criteria.

It also provides the method by which individual potential auditor's compliance to the criteria should be judged and maintained. This information is contained in annex A which is an integral part of this standard. Annex B contains information on national auditor certification but is not an integral part of this standard.

---

# Guidelines for auditing quality systems

## Part 2: Qualification criteria for auditors

### 1 Scope

This part of ISO 10011 sets out qualification criteria for auditors.

These criteria should be used to select auditors to perform quality systems audits to ISO 10011: Part 1.

### 2 Normative reference

The following standards contain provisions which, through reference in this text, constitute provisions of this part of ISO 10011. At the time of publication, the edition indicated was valid. All standards are subject to revision, and parties to agreements based on this part of ISO 10011 are encouraged to investigate the possibility of applying the most recent edition of the standard indicated below. Members of IEC and ISO maintain registers of currently valid International Standards.

ISO 8402:1986, *Quality—Vocabulary*

ISO 10011 *Guidelines for auditing quality systems*  
*Part 1: Auditing.*

*Part 3: Managing audit programs.*

### 3 Definitions

For the purposes of this part of ISO 10011, the definitions given in ISO 8402 and ISO 10011—Part 1 apply.

### 4 Education

Auditor candidates should have completed secondary education, that is, that part of the national educational system that comes after the primary or elementary stage, but prior to that which qualifies for a degree, or as otherwise determined by the evaluation panel, described in annex A. Candidates should have demonstrated competence in reading and writing and should be capable of clearly and fluently expressing concepts and ideas orally and in writing in their national language.

### 5 Training

Auditor candidates should have undergone training to the extent necessary to ensure their competence in the skills required for carrying out audits, and for managing audits. Training in the following areas should be regarded as particularly relevant:

- knowledge and understanding of the standards against which quality systems audits may be made;
- assessment techniques of examining, questioning, evaluating and reporting;

—and the additional skills required for managing an audit such as planning, organizing, communicating, and directing.

Such competence should be demonstrated through written or oral examinations, or other acceptable means.

### 6 Experience

Auditor candidates should have a minimum of four years full time appropriate practical workplace experience, in addition to being trained, in such fields as science, engineering, technology, manufacturing, construction, maintenance, service, administration or economics, at least two years of which should have been in quality assurance activities.

Prior to assuming responsibility for performing audits as an auditor, the candidate should have gained experience in the entire audit process as described in ISO 10011—Part 1. This experience should have been gained by participating in a minimum of four audits, the audits taking in total at least twenty audit days for documentation review, actual audit activities and audit reporting.

All relevant experience should be reasonably current.

### 7 Personal attributes

Auditor candidates should be open minded, mature, possess sound judgement, analytical skills, tenacity, the ability to perceive situations in a realistic way, and the ability to understand complex operations from a broad perspective, and to understand the role of individual units within the overall organization. The auditor should be able to apply these attributes in order to:

- obtain and assess factual evidence fairly;
- remain true to the purpose of the audit without fear or favour;
- constantly evaluate the effects of audit observations and personal interactions during an audit;
- treat personnel concerned in a way that will best achieve the audit purpose;
- react with sensitivity to the national conventions of the country in which the audit is performed;
- perform the audit process without deviating due to distractions;
- commit full attention and support to the audit process;
- react effectively in stressful situations;