

Determination of the 'where appropriate' processes

Terminology

Where the terminology used by the auditee is different to that used by the auditor, the auditor should understand the concepts in ISO 9001 using ISO 9000 and make a mental or written cross reference between the terminology of the auditee and his/her own for the same concepts, avoiding the use of quality management jargon.

The definition of process

If the definition of process is not interpreted in the same way by the auditor and the auditee, the auditor should seek to understand the auditee's point of view and not impose his own view unless it is clear (supported with enough objective evidence) that the requirements of the standard are not met. The same is true if the auditor believes that certain processes have not been correctly identified or are missing.

Exclusions

The auditor should refer to clause 1.2 of ISO 9001, to the ISO/TC 176/SC 2/N524 document ISO 9000 introduction and support package: guidance on ISO 9001:2000, clause 1.2 application for further guidance, and the Auditing Practices Group's guidance on scopes.

The auditor should obtain objective evidence that the auditee cannot exclude a specific requirement, before reaching a conclusion.

It is good practice for an auditor to utilize the standard ISO 9000:2000 quality management system - fundamentals and vocabulary, and ISO/TC 176/SC 2/N524 as support documents, to explain the arguments to the auditee.

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ISO/IAF Auditing Practices Group Papers

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The ISO 9001 Auditing Practices Group is an informal group of QMS experts, auditors and practitioners drawn from the ISO Technical Committee 176 Quality Management and Quality Assurance (ISO/TC 176) and the IAF. It has developed a number of guidance papers and presentations that contain explanations about the auditing of QMSs. These reflect the process-based approach that is essential for auditing the requirements of ISO 9001.

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