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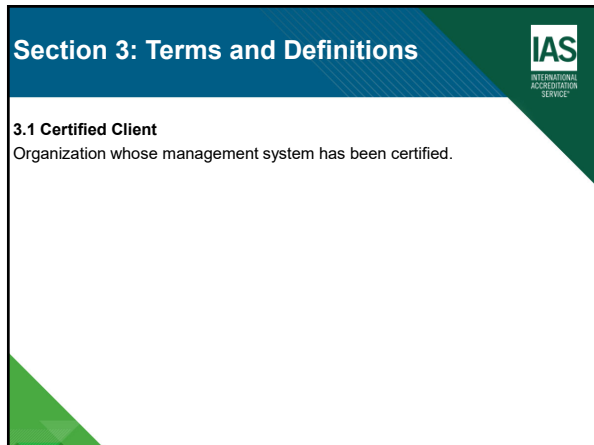
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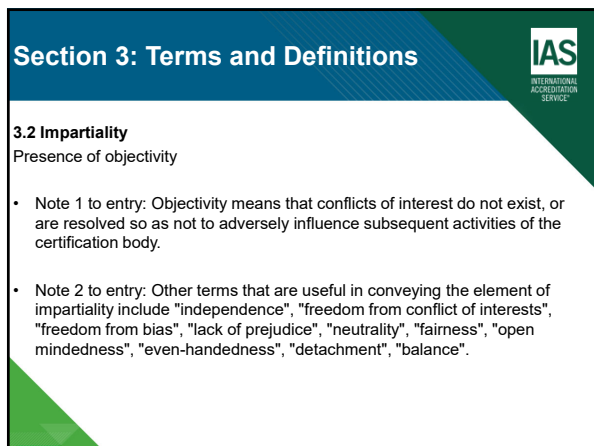
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Section 3: Terms and Definitions

IAS

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SERVICE

**3.3 Management System Consultancy**

Participation in establishing, implementing or maintaining a management system

EXAMPLE 1: Preparing or producing manuals or procedures.

EXAMPLE 2: Giving specific advice, instructions or solutions towards the development and implementation of a management system.

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Section 3: Terms and Definitions

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**3.3 Management System Consultancy (Continued)**

- Note 1 to entry: Arranging training and participating as a trainer is not considered consultancy, provided that, where the course relates to management systems or auditing, it is confined to the provision of generic information; i.e. the trainer should not provide client-specific solutions.
- Note 2 to entry: The provision of generic information, but not client specific solutions for the improvement of processes or systems, is not considered to be consultancy. Such information may include:
  - Explaining the meaning and intention of certification criteria;
  - Identifying improvement opportunities;
  - Explaining associated theories, methodologies, techniques or tools;
  - Sharing non-confidential information on related best practices;
  - Other management aspects that are not covered by the management system being audited.

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Section 3: Terms and Definitions

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**3.4 Certification Audit**

Audit carried out by an auditing organization independent of the client and the parties that rely on certification, for the purpose of certifying the client's management system

- Note 1 to entry: In the definitions which follow, the term "audit" has been used for simplicity to refer to third party certification audit.
- Note 2 to entry: Certification audits include initial, surveillance, re-certification audits, and can also include special audits.

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Section 3: Terms and Definitions



### 3.4 Certification Audit

Audit carried out by an auditing organization independent of the client and the parties that rely on certification, for the purpose of certifying the client's management system

- Note 3 to entry: Certification audits are typically conducted by audit teams of those bodies providing certification of conformity to the requirements of management system standards.
- Note 4 to entry: A joint audit is when two or more auditing organizations cooperate to audit a single client.

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Section 3: Terms and Definitions



### 3.4 Certification Audit

Audit carried out by an auditing organization independent of the client and the parties that rely on certification, for the purpose of certifying the client's management system

- Note 5 to entry: A combined audit is when a client is being audited against the requirements of two or more management systems standards together.
- Note 6 to entry: An integrated audit is when a client has integrated the application of requirements of two or more management systems standards into a single management system and is being audited against more than one standard.

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Section 3: Terms and Definitions



### 3.5 Client

Organization whose management system is being audited for certification purposes

### 3.6 Auditor

Person who conducts an audit

### 3.7 Competence

Ability to apply knowledge and skills to achieve intended results

### 3.8 Guide

Person appointed by the client to assist the audit team

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Section 3: Terms and Definitions

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3.9 Observer

Person who accompanies the audit team but does not audit

3.10 Technical Area

Area characterized by commonalities of processes relevant to a specific type of management system and its intended results

3.11 Nonconformity

Non-fulfilment of a requirement

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Section 3: Terms and Definitions

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3.12 Major Nonconformity

Nonconformity (3.11) that affects the capability of the management system to achieve the intended results

- Note 1 to entry: Nonconformities could be classified as major in the following circumstances:
  - If there is a significant doubt that effective process control is in place, or that products or services will meet specified requirements;
  - A number of minor nonconformities associated with the same requirement or issue could demonstrate a systemic failure and thus constitute a major nonconformity.

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Section 3: Terms and Definitions

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3.13 Minor Nonconformity

Nonconformity (3.11) that does not affect the capability of the management system to achieve the intended results.

3.14 Technical Expert

Person who provides specific knowledge or expertise to the audit team

Note 1 to entry: Specific knowledge or expertise is that which relates to the organization, the process or activity to be audited.

3.15 Certification Scheme

Conformity assessment system related to management systems to which the same specified requirements, specific rules and procedures apply

3.16 Audit Time

Time needed to plan and accomplish a complete and effective audit of the client organization's management system

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### Section 3: Terms and Definitions



#### 3.17 Duration of Management System Certification Audits

Part of audit time (3.16) spent conducting audit activities from the opening meeting to the closing meeting, inclusive

- Note 1 to entry: Audit activities normally include:
  - Conducting the opening meeting;
  - Performing document review while conducting the audit;
  - Communicating during the audit;
  - Assigning roles and responsibilities of guides and observers;
  - Collecting and verifying information;
  - Generating audit findings;
  - Preparing audit conclusions;
  - Conducting the closing meeting.

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### Thank you!





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