



Integrated Management System Audit

Combined – NOT Concurrent

Manuel Marco

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What will we cover ?

- Why this presentation?
- References & Terminology
- Process & Process approach
- Combined vs. concurrent audit
- Planning the Integrated Audit
- Conducting the Integrated Audit
- Reporting the Integrated Audit



Why this presentation?

- Clear trend occurring towards using one Integrated Management System
- Requests from top management to reduce the number of audits, costs and disruption



Why this presentation?

- Opportunity to improve the Auditors job:
 - Auditors from different disciplines had disagreements in front of the auditee
 - Auditors from different disciplines not wanting to allow another auditor to lead the audit
 - Two auditors from different disciplines on site at same time...driving separate rental cars ... staying in different hotels ... with meetings at separate times
 - Two auditors on site and they cross paths on Friday and only then know they have both been there all week ...



References

- **EA-7/05** → European Cooperation for Accreditation (EA) Guidance on the Application of ISO/IEC 17021:2006 for Combined Audits
- ISO/IEC 17021:2006 Conformity assessment – Requirements for bodies providing audit and certification of management systems



Terminology

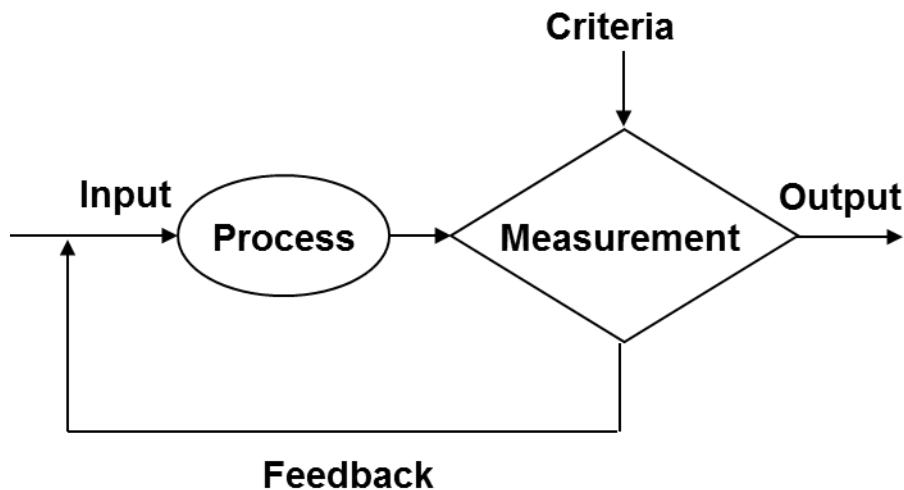
Per EA-7/05

- **Integrated management system (IMS):** One single management system to manage multiple aspects of organizational performance, to meet the requirements of more than one management system standard.
E.g.: 9001/14001, 14001/18001, 9001/14001/18001, etc.
- **Concurrent audit** – An audit where each of the Lead Auditors is fully qualified in their respective disciplines yet the audit is conducted independent of each other.
- **Combined audit:** A combined audit is an audit of an organization's management system(s) against 2 or more sets of audit criteria/standards conducted at the same time.

Process

3.4.1 **Process** – set of interrelated or interacting activities which transforms inputs into outputs.

ISO 9000:2005 3 Terms and definitions

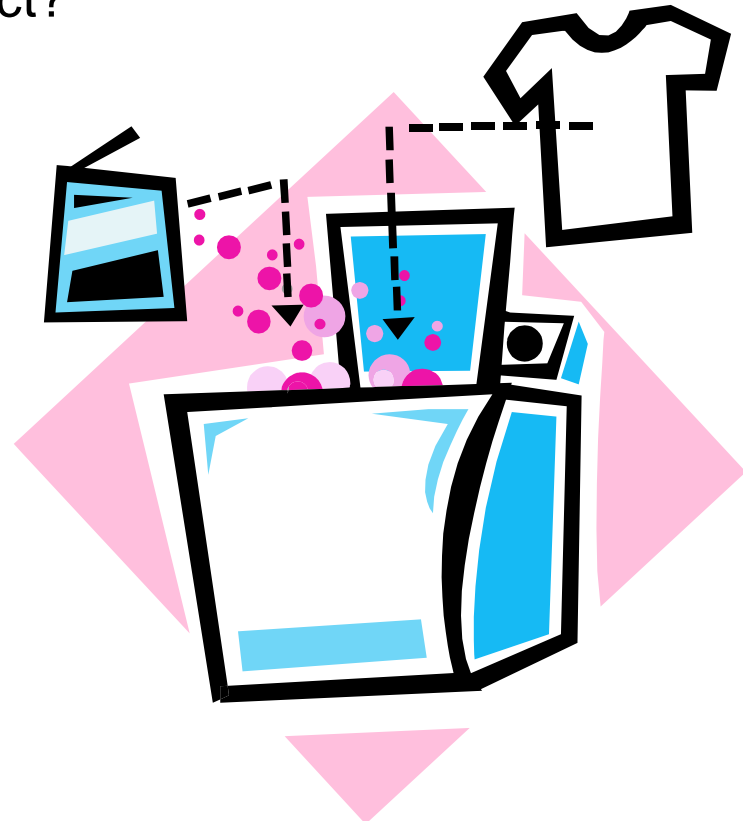


Integrated Management System =
Same process, different outputs:

- Quality products
- Happy customers
- Management of by-products
- Environmental compliance
- Safe working environment

Washing Clothes as a Process

- What are the inputs?
- What are the outputs?
- What feedback would you expect?



Washing Clothes (as a Process)

■ Inputs

- Water
- Soap
- Dirty clothes
- Electricity

■ Outputs

- Clean clothes

■ Feedback

- Power
- Program
- Estimated Time Remaining



Washing Clothes (adding Environmental)

■ Inputs

- Water
- Soap
- Dirty clothes
- Electricity
- Zoning & legal permits

■ Outputs

- Clean clothes
- Dirty Water (with soap)
- Energy usage/conservation
- Carbon footprint

■ Feedback

- Power
- Program
- Estimated Time Remaining



Washing Clothes (adding Safety)

■ Inputs

- Water
- Soap
- Dirty clothes
- Electricity
- Zoning & legal permits
- Trained operator
- Balanced machine
- Three pronged grounded cord

■ Outputs

- Clean clothes
- Dirty Water (with soap)
- Energy usage/conservation
- Carbon footprint

■ Feedback

- Power
- Program
- Estimated Time Remaining



Process Approach

d) **Process approach** – desired results are achieved more efficiently when related resources and activities are managed as a process.

e) **System approach to management** – identifying, understanding and managing the organization as a series of interrelated processes for a given objective contributes to efficiency and effectiveness.

ISO 9000:2005 0.2 Quality management principles

Does the Process Approach Apply to Multiple Disciplines?

- ISO 9001:2008 **0.2 Process approach**: This International Standard **promotes the adoption of a process approach** when developing, implementing and improving the effectiveness of a quality management system, to enhance customer satisfaction by meeting customer requirements.
- ISO 14001:2004 and OHSAS 18001:2007 **Introduction** “Many organizations manage their operations via the application of a system of processes and their interactions, which can be referred to as the “process approach”. ISO 9001 promotes the use of the process approach. Since PDCA can be applied to all processes, the two methodologies are considered to be compatible.”
- Other Standards also promote the process approach including, but not limited to:
 - ISO/TS 16949; ISO 27001; ISO/TS 29001; AS91X0

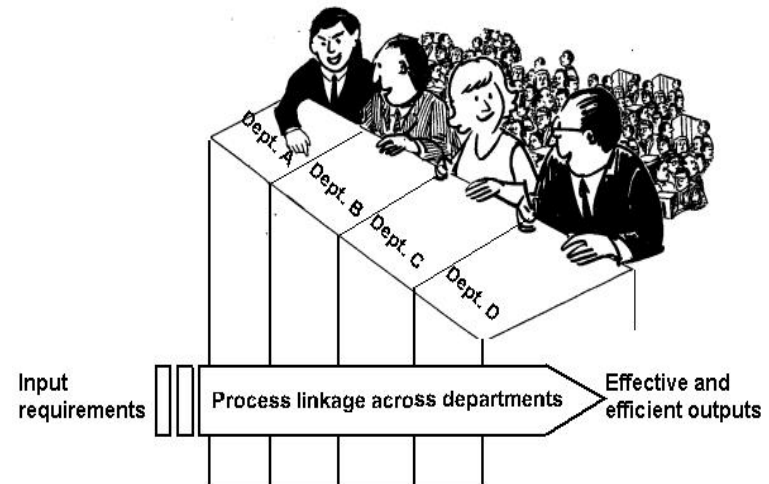
Understanding the Process Approach

- ISO 9001:2008
- **4.2.2 Quality manual** The organization shall establish and maintain a quality manual that includes
 - a) the scope of the quality management system, including details of and justification for any exclusions
 - b) the documented procedures established for the quality management system, or reference to them, and
 - c) ***a description of the interaction between the processes of the quality management system.***
- On a QMS, EMS, and OHSAS integrated audit, you must look to the organizations' manual for 4.2.2 c) that **INCLUDES** the processes for QMS, EMS, and OHSAS.
 - **E-V-E-R-Y-T-H-I-N-G** you plan for the audit is based upon this representation, regardless if it is a word description, a process flow diagram, or any combination thereof.

Understanding the Process Approach

- Bottom Line:

*The Standards we audit are process based
and our audits must be based on this
premise*



Audit Agendas - Requirements

Requirements plain and simple

- An agenda should not be based upon the clauses of any or all Standards in and of themselves
- The auditor should not conduct an audit by clauses
- An Audit Plan Matrix is to be used in all audits to confirm that you have covered the applicable clauses in each process
- The agenda should include the processes and can have the clauses associated with those processes based upon an Audit Plan Matrix

Audit Agendas – Example Audit Plan / Matrix

Management System Clauses	Process / Activity									
	9001	14001 ~ OHSAS 18001	A	B	C	D	E	F	G	H
General Requirements	4.1	4.1	X	X	X	X	X	X	X	X
General	4.2.1	4.1					X			
Management Manual and Documentation	4.2.2	4.4.4					X			
Control of Documents	4.2.3	4.4.5	X	X	X	X	X	X	X	X
Control of Records	4.2.4	4.5.4	X	X	X	X	X	X	X	X
Management Commitment	5.1	4.2; 4.4.1	X	X	X	X	X	X	X	X
Customer Focus	5.2	4.3.1; 4.3.3	X	X	X	X	X	X	X	X
Quality Policy	5.3	4.2	X	X	X	X	X	X	X	X
Planning	5.4	4.3.1 4.3.2 4.4.3				X	X			
Responsibility, Authority and Communications	5.5	4.1	X	X	X	X	X	X	X	X
Management Review	5.6	4.6		X						
Provision of Resources	6.1	4.4.1	X	X	X	X	X	X	X	X
Human Resources	6.2	4.4.2		X						

Correspondence between Standards

OHSAS 18001:2007		ISO 14001:2004		ISO 9001:2000	
—	Introduction	—	Introduction	0 0.1 0.2 0.3 0.4	Introduction General Process approach Relationship with ISO 9004 Compatibility with other management systems
1	Scope	1	Scope	1 1.1 1.2	Scope General Application
2	Normative references	2	Normative references	2	Normative reference
3	Terms and definitions	3	Terms and definitions	3	Terms and definitions
4	OH&S management system elements (title only)	4	Environmental management system requirements (title only)	4	Quality management system (title only)
4.1	General requirements	4.1	General requirements	4.1 5.5 5.5.1	General requirements Responsibility, authority and communication Responsibility and authority
4.2	OH&S policy	4.2	Environmental policy	5.1 5.3 8.5.1	Management commitment Quality policy Continual improvement
4.3	Planning (title only)	4.3	Planning (title only)	5.4	Planning (title only)
4.3.1	Hazard identification, risk assessment and determining controls	4.3.1	Environmental aspects	5.2 7.2.1 7.2.2	Customer focus Determination of requirements related to the product Review of requirements related to the product
4.3.2	Legal and other requirements	4.3.2	Legal and other requirements	5.2 7.2.1	Customer focus Determination of requirements related to the product
4.3.3	Objectives and programme(s)	4.3.3	Objectives, targets and programme(s)	5.4.1 5.4.2 8.5.1	Quality objectives Quality management system planning Continual improvement
4.4	Implementation and operation (title only)	4.4	Implementation and operation (title only)	7	Product realization (title only)

Combined Vs. Concurrent

- **Integrated (Combined) Audit:**

- Each auditor would still audit their specialty simply to make the audit more effective, for example:

- Environmental → audits waste water
- Quality → audits weld procedures
- Safety → audits use of PPE (Personal Protection Equipment)

- The remainder of the processes are split amongst the auditors

- Document control
- Record control
- Management review
- Internal audits
- Corrective and Preventative Actions

- Integrated Management System audit may qualify for audit time reduction. This reduction shall not exceed 20% considering all factors.

Combined Vs. Concurrent

- **Concurrent**

- Where practical, all auditors audit common processes together to minimize disruption (clauses for management review, CA/PA, internal audits, etc.).
 - BE VERY CAREFUL that each members audit time is productive
- Concurrent Audits DO NOT qualify for time reduction from the total time of all Standards.

Planning the Integrated Audit

The **audit plan shall ensure** that:

- **All areas and activities** applicable to each management system standard covered by the scope of the visit **are assessed by appropriate competent auditors.**
- **Sufficient time is allocated to accomplish a complete and effective audit of the organization's management system(s)** for the management system standards covered by the scope of the audit.

Planning the Integrated Audit

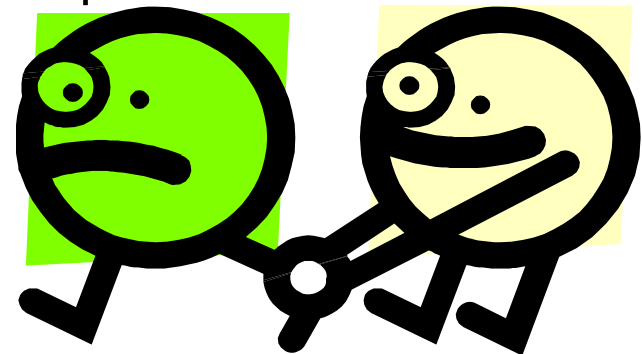
- **One audit...one agenda.**

- The team lead develops **THE** audit agenda based upon the organization's processes.



Planning the Integrated Audit

- The Lead Auditor (Team Lead) is to advise all team members on required travel so audit team members can (read – MUST) coordinate their:
 - Travel arrangements
 - Hotel accommodations
 - Rental car
 - Agenda
 - Who will perform the opening meeting?
 - Who will perform the closing meeting?
 - How will you meet to go over notes and ask questions?
 - How will you keep the auditee informed?



Conducting the Integrated Audit

- One opening meeting.
- One closing meeting.
- Do you think it would be a good thing that all auditors had a working knowledge of all standards?
 - Yes!
- Do you think that all auditors should write clear findings that can be presented by any of the auditors?
 - Yes!

Conducting the Integrated Audit

- **All applicable elements of each management system standard relevant to the scope of the combined audit visit shall be adequately assessed**
- Samples relevant to each applicable **standard** within the IMS **shall be audited** (E.g.: In a HSEQ system, sample corrective actions related Q, E and OHS)
- It would be **unacceptable to verify the effectiveness of the system for “corrective action” by only auditing samples relevant to say “Quality”**.



Conducting the Integrated Audit

- Delegation of activities between auditors:
- **Audit tasks relating to the technical aspects of processes** (e.g. their management, controls, capability and effectiveness) **which demand specific technical competence** in relation to the audit criteria **shall not be delegated to auditors who are not competent for the technical area.**



Reporting the Integrated Audit

- One audit...one report.
- **Each finding** raised in a combined report **shall be traceable to each applicable management system standard(s)**.
- **Separate nonconformities should be raised for each management system standard unless** specific findings are **applicable to the requirements of more than one standard**.
- The audit team **consider the impact that a nonconformity found for one of the system standards has on the compliance of the management system(s) with the other standards**.

Standards NOT Eligible for Integrated Audits

- ISO/TS 16949
- AS 9100, 9110, 9120
- TL 9000



Acknowledgement

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Questions?



THANK YOU!



Manuel Marco
Western District Manager
Phone: +1-562-453-4621
manuel.marco@dnv.com

www.dnvba.com