Auditing Integrated Management System
At the end of the class, please fill the training feedback form! (Yellow paper in your notebook)

Return the feedback form at the reception!
Learning Outcomes

At the end of this session, you will able to know:

• Brief on ISO 9001:2015
• Brief on ISO 14001:2015
• Brief on BS OHSAS 18001:2007

• What is Integrated Management System (IMS)

• Brief on Types of Audit

• How to Audit IMS

• Question & Answer
What is a Management System

“Set of interrelated or interacting elements of an organization to establish policies and objectives, and process to achieve those objectives

In other words:

“System should be results focused – A documented system NOT a system of documents”
Need for Alignment of management system standards!

ISO Joint Technical Coordination Group (JTCG):
Joint vision for management system standards
High Level Structure for all ISO Management Systems Standards
Identical sub-clause title under high level structure
Generic core vocabulary for management system standards

Aim to make life easier for those who wish to have a single management standards

MSS - Management System Standard
Standard that provides requirements or guidelines for organizations to develop and systematically manage their policies, processes and procedures in order to achieve specific objectives.

NOTE 1:
An effective management system is usually based on managing the organization’s processes using a “Plan-Do-Check-Act” approach in order to achieve the intended outcomes.

NOTE 2:
Such documents typically contain sections addressing the following components:
1. policy;
2. planning;
3. implementation and operation;
4. performance assessment;
5. improvement;
6. Management review

- the new standard adopts the *high-level structure* and terminology of Annex SL (used for the development of all new ISO standards)
- High Level Structure - identical core text and common terms and core definitions for use in all Management System Standards:
  - purpose - enhance the consistency and alignment of different management system standards
  - organisations that integrate multiple standards (eg QMS, EMS, OHS) will see the most benefit
  - uses simplified language and writing styles to aid understanding and consistent interpretations of requirements.
Annex SL

High level structure for development of new ISO management systems standards;

Identical core texts; common terms and definitions for use in all management systems standards;

Enhance the consistency and alignment of different management systems standards;

Beneficial for Integrated Management Systems;
Common structure for MSS

1. Scope
2. Normative references
3. Terms and definitions
4. Context of the Organisation
5. Leadership
6. Planning
7. Support
8. Operation
9. Performance evaluation
10. Improvement
Clause structure (4-6)

4. Context of the organisation
   – Understanding the organisation and its context
   – Understanding the needs and expectations of interested parties
   – Determining the scope of the XXX management system
   – XXX management system

5. Leadership
   – Leadership and commitment
   – Policy
   – Organisational roles, responsibilities and authorities

6. Planning
   – Actions to address risks and opportunities
   – Objectives and plans to achieve them.
Clause structure (7-10)

7. Support
  ▫ Resources
  ▫ Competence
  ▫ Awareness
  ▫ Communication
  ▫ Documented information

8. Operation
  ▫ Operational planning and control

9. Performance evaluation
  ▫ Monitoring, measurement, analysis and evaluation
  ▫ Internal audit
  ▫ Management review

10. Improvement
  ▫ Nonconformity and corrective action
  ▫ Continual improvement.
New Requirements - Changes in Approach

Risk Based Thinking – Which might influence the MSS Performance

“Risks & Opportunities” to be considered prior to design of Context, Products, Services, Processes, Projects, Scope and Changes

Risks: Violations, Penalties/Notices, No customers, Delays, Customer dissatisfaction, Customer Complaints, Rejections, Reworks, Product recall, Bad reputation in the market, Incompetence, High Staff Turnover, Cost of Quality failures, etc.

Opportunities: New Customers, New Markets, New Products / Services, New Scope, Customer Goodwill, Staff Goodwill, Employee Participation, Innovation & Creativity, Organizational Competence, Business Excellence, etc.
ISO 9001:2015
Plan

4 Context of organization
- 4.1 Understanding context
- 4.2 Interested parties
- 4.3 Scope
- 4.4 QMS

5 Leadership
- 5.1 Leadership and commitment
- 5.2 Policy
- 5.3 Organizational roles, responsibilities and authorities

6 Planning
- 6.1 Actions to address risks and opportunities
- 6.2 Quality objectives and planning
- 6.3 Planning of changes

7 Support
- 7.1 Resources
- 7.1.2 People
- 7.1.3 Infrastructure
- 7.1.4 Environment for the operation of processes
- 7.1.5 Monitoring and measuring resources
- 7.1.6 Organizational knowledge
- 7.2 Competence
- 7.3 Awareness
- 7.4 Communication
- 7.5 Documented information

8 Operation
- 8.1 Operational planning and control
- See next slide

9 Performance and Evaluation
- 9.1 Monitoring, measurement, analysis and evaluation
- 9.1.2 Customer satisfaction
- 9.1.3 Analysis and evaluation
- 9.2 Internal audit
- 9.3 Management review

10 Improvement
- 10.1 General
- 10.2 Nonconformity and corrective action
- 10.3 Continual improvement

Do

Check

Act
The common structure and ISO 9001:2015 additions

8 Operation

8.1 Operational planning and control
PROCESSES IN OPERATION OF QUALITY MANAGEMENT SYSTEM
ISO 14001:2015
ISO 14001:2015

1. Driven by Leadership
Greater commitment from those at the top

#ISO14001
the revised ISO 14001 will be even better

2. Better strategic fit
Increased alignment with your strategic direction

3. Greater protection for the environment
Focus on proactive initiatives and improving environmental performance

4. Life cycle thinking
Considering each stage from development to end-of-life

5. Effective communication
Driven through a communications strategy
ISO 14001:2015

Context of the organization

Internal and external issues (4.1)

Planning (6)

Support and Operation (7 and 8)

Leadership (5)

Performance evaluation (9)

Check

Improvement (10)

Act

Needs and expectations of interested parties (4.2)

Do

Outcomes of the EMS

Plan

Scope of the environmental management system (4.3/4.4)

Note: Numbers in brackets refer to the clauses in this International Standard.
ISO 14001:2015
ASPECT AND IMPACT
OHSAS 18001:2007
4 OH&S Management System Requirements

4.1 General requirements
4.2 OH&S policy
4.3 Planning
4.4 Implementation and operation
4.5 Checking
4.6 Management review
Risk Assessment & Control

- must define methodology
- classify risks
- manage risk during any change
- hierarchy of controls established
- records retained.
Risk Assessment:

- Likelihood
- Consequences / Impact
Risk Assessment Matrix

- **Likelihood**: Low, Medium, High, Very High
- **Consequences / Impact**: Low, Medium, High, Very Low

The matrix categorizes risks based on their likelihood and consequences/impact, with corresponding colors for visual representation.
Control Procedure

• hazard identification & risk assessment is often called a JSA (Joint Safety Analysis)
• risk control is often identified through a SWMS (Safe Work Method Statement)
• often required by clients (eg subcontractors to construction companies).
Hierarchy of Controls

- Elimination
- Substitution
- Engineering Controls
- Administrative Controls
- Personal Protective Equipment
Risk and Countermeasures

- **Likelihood**
  - Very Low
  - Low
  - Medium
  - High
  - Very High

- **Consequences / Impact**
  - Very Low
  - Low
  - Medium
  - High
  - Very High

The diagram categorizes risks based on their likelihood and consequences/impact.
OHS Improvement Plan

Facilitates continual improvement, it should list:
- the objective
- the responsibility
- the resources required
- the target date
- the result – any evidence
- date resolved.
Typical OHSMS Documentation
INTEGRATED MANAGEMENT SYSTEM

An integrated management system (IMS) combines all related components of a business into one system for easier management and operations. Quality (QMS), Environmental (EMS), and Safety (OHSMS) management systems are often combined and managed as an IMS.
INTEGRATED MANAGEMENT SYSTEM

These are not separate systems joined together, rather they are an integrated management system with linkages so that similar processes are seamlessly managed and executed without duplication. IMS components common to all the systems include the resources (people, facilities & equipment, etc.) and processes (documented in the QMS/EMS/OHSMS and applied throughout the organization)
Advantages of an Integrated Management Systems

Consistent objectives, planning, and document management

Implementation and Operation of the system cost less.

Easier internal audits

No Redundancies, reducing the chance of conflict
Disadvantages
Responsibility of QMS and EHS can be conflicted in some organizational structures.
Documentation can be more intricate.
External third party audits can be more difficult.
INTEGRATED MANAGEMENT SYSTEM

The three management systems share many common requirements and the continual improvement goal. They differ in their approach and degree of prescription, but the ISO 9001, the ISO 14001 and OHSAS 18001 standards are compatible in content, terminology & many of the requirements.
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AUDIT PROCESS

APPLICATION
SCOPE
TIME
QUOTE
CONTRACT

CONTRACTING
PREPERATION

TEAM
SCOPE
PLANNING
AUDIT PROGRAM

STAGE 1
DOCUMENT REVIEW
FAMILIRIZATION
CHECKLISTS
AUDIT PLANS

STAGE 2
OPENNING
AUDITING
INTERM MEETING
QUESTIONING
CLOSING

MONITORING
SURVAILLANCE
FOLLOW UP
CAR
REPORT
AUDIT
COLLECTING INFORMATION

80%
AUDITEE

TAKES INFORMATION

20%
AUDITOR

GIVES INFORMATION
AUDIT
COLLECTING INFORMATION

GIVES INFORMATION

TAKES INFORMATION

Eyes

Ears

Mouth

People

Infrastructure, Machines
Surrounding

Document
Record

Device
Equipment
AUDIT
QUESTIONING

Key to get informed
Most valuable assistant of the auditor
5W – 1H – 1S
what, Why, When, where, Who, how, Show
The question you ask identify the answer you would get
The questioner is always in front
Questioner controls the process
AUDIT
QUESTIONING

• Open questions
  To get information
• Closed questions
  to get approval
• Apple Tactic
  Little by little until to get the full answer
• Active Listening
  Ask – Listen – Summarize
Upcoming Training Schedule for QMS & OHSAS

**ISO 9001:2015**
- Batch Start Date: 9/6/2017
- Batch End Date: 7/7/2017
- Frequency: Every Friday

**OHSAS 18001:2007**
- Batch Start Date: 17/6/2017
- Batch End Date: 15/7/2017
- Frequency: Every Saturday

**Product Manager**
**Mr. Dinesh**
dinesh@3foldtraining.com
050 – 1036364
Please return the feedback form at the reception!

END OF THE SESSION