CERTIFICATION POLICY ON AUDITS OF INTEGRATED MANAGEMENT SYSTEMS

OBJECTIVE: To plan and deliver effective Audits of Integrated Management Systems (IMS).

1. DEFINITIONS

For the purposes of this document, the following definitions apply:

1.1 Audit of Integrated Management System: An audit of an organization's management system against two or more sets of audit criteria/standards conducted at the same time.

1.2 Integrated Management System: A single management system managing multiple aspects of organizational performance to meet the requirements of more than one management standard, at a given level of integration (1.3). A management system may range from a combined system adding separate management systems for each set of audit criteria/standard, to an Integrated Management System, sharing in single system documentation, management system elements, and responsibilities.

1.3 Level of Integration: The level to which an organization uses one single management system to manage multiple aspects of organizational performance to meet the requirements of more than one management system standard. Integration relates to the management system being able to integrate documentation, appropriate management system elements and responsibilities in relation to two or more sets of audit criteria/standards.

2. APPLICATION

2.1 RSB ensures that:

2.1.1 In establishing the audit program the level of integration of the management system(s) is considered.

2.1.2 Audit plans cover all areas and activities applicable to each management system standard/specification covered by the scope of the audit and are addressed by competent auditor(s).

2.1.3 The audit team as a whole satisfies the established competence requirements, for each technical area, as relevant for each management system standard/specification covered by the scope of the audit of an IMS.

2.1.4 The audit is managed by a team leader, competent in at least one of the audited standards/specifications.

2.1.5 Sufficient time is allocated to accomplish a complete and effective audit of the organization's management system for the management system standards/specifications covered by the scope of the audit.

2.1.5.1 To determine the audit time for an audit of an IMS covering two or more management system standards/specifications, e.g. A + B + C, RSB:

a) calculates the required audit time for each management system standard/specification separately (applying all relevant factors provided for by the relevant application documents and/or scheme rules for each standard, e.g. ISO/TS 22003; MD 5

b) calculates the starting point T for the duration of the audit of the IMS by adding the sum of the individual parts (e.g. $T = A + B + C$);

c) adjusts the starting point figure by taking into account factors that may increase or reduce (see Annex 1) the time required for the audit.

The factors for reduction include but are not limited to:

i) The extent to which the organization's management system is integrated;

ii) The ability of the organization's personnel to respond to questions concerning more than one management systems standard; and

iii) The availability of auditor(s) competent to audit more than one management system standard/specification.

The factors for increase include but are not limited to:

i) The complexity of the audit of an IMS compared with single management system audits.

d) informs the client that the duration of an IMS audit based on the declared level of integration of the organisation's management system may be subject to adjustment on the basis of confirming the level of integration at stage one and subsequent audits.

2.1.5.2 Audit of an IMS could result in increased time, but where it results in reduction, it shall not exceed 20% from the starting point T (2.1.5.1b).

2.1.5.3 The starting point figure and justification for increase or reduction is documented.

2.2 RSB-NCD considers IAF MD 5 when developing audit program and audit plans for an IMS.

2.3 All applicable requirements of each management system standard/specification relevant to the scope of the IMS is audited.

2.4 depending on the level of integration audit reports can be integrated or separate, with respect to the management systems audited. Each finding raised in an integrated report is traceable to the applicable management system standard(s)/specification(s).

2.5 Consideration is made on the impact that nonconformity found for one of the management system standard(s)/specification(s) has on the compliance with the other management system standard(s)/specification(s).

3. INITIAL AUDIT AND CERTIFICATION

3.1 Client Application

This shall include information relating to the level of integration, including the level of integration of documents, management system elements and responsibilities (see Annex 1).

3.2 Stage One Audit

During a Stage One Audit, the audit team confirms the level of integration of the IMS. RSB-NCD reviews and modifies, as necessary, the audit duration that was based on information provided at the application stage.

4. SURVEILLANCE AND RECERTIFICATION ACTIVITIES

The RSB-NCD confirms that the level of integration remains unchanged throughout the certification cycle to ensure that the established audit durations are still applicable.

5. SUSPENSION, REDUCTION, WITHDRAWAL

If certification to one or more management system standard(s)/specification(s) is subject to suspension, reduction or withdrawal the RSB investigates the impact of this on the certification to other management system standard(s)/specification(s).
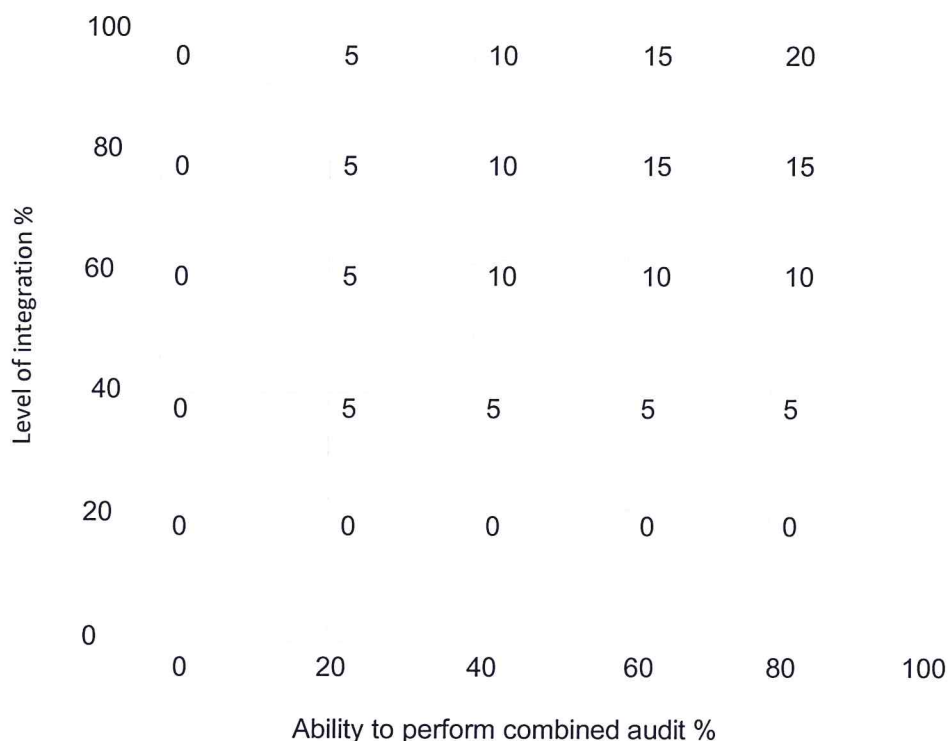
ANNEX 1 –REDUCTION OF AUDIT TIME

Refer to Combined Audit Calculation Table SCU/CAT/04.

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REDUCTION OF AUDIT TIME

Level of integration %					
100	0	5	10	15	20
80	0	5	10	15	15
60	0	5	10	10	10
40	0	5	5	5	5
20	0	0	0	0	0
0	0	20	40	60	80	100

Ability to perform combined audit %

This figure illustrates the reduction (%) in integrated audit duration and its relationship to:

Vertical axis: the level of integration of an organization's management system (see below), which should include a consideration of the auditee's ability to respond to multi-aspect questions.

An Integrated Management System results when an organization uses one single management system to manage multiple aspects of organizational performance. It is characterized by (but not limited to):

1. An integrated documentation set, including work instructions to a good level of development; as appropriate;

2. Management Reviews that consider the overall business strategy and plan;

3. An integrated approach to internal audits;

4. An integrated approach to policy and objectives;

5. An integrated approach to systems processes;

6. An integrated approach to improvement mechanisms, (corrective and preventive action; measurement and continual Improvement); and,

7. Integrated management support and responsibilities

Horizontal axis:

The extent, given as a ratio to be multiplied by a factor of 100 in order to achieve the extent given as percentage, to which individual audit team members are qualified

$$\frac{100\,((X1 - 1) + (X2 - 1) + (X3 - 1) + (Xn - 1))}{Z(Y - 1)}$$

Where

X1, 2, 3....n is the number of standards for which an auditor is qualified relevant for the scope of the integrated audit;

Y is the number of management system standards to be covered by integrated audit;

Z is the number of auditors

Example:

An integrated audit team of three auditors covering three different management system standards. One auditor is qualified for all three standards; one auditor is qualified for two of the standards and the other auditor is qualified for one standard. The percentage figure to be used for the horizontal axis is:

$$\frac{100((3 - 1) + (2 - 1) + (1 - 1))}{3(3 - 1)} = 50\,\%$$

Due to available competence of each auditor to more than one set of audit criteria/standards, efficiencies are gained and go into the calculation of the possible reduction of time in the formula above. These include:

1. Time saved due to one opening and one closing meeting;

2. Time saved as one integrated audit report is produced;

3. Time saved in optimized logistics;

4. Time saved in auditor team meetings; and,

5. Time saved auditing common elements simultaneously, e.g. document control

(**Reference**: IAF MD 11:2013, IAF Mandatory Document for the Application of ISO/IEC 17021 for Audits of Integrated Management Systems).