



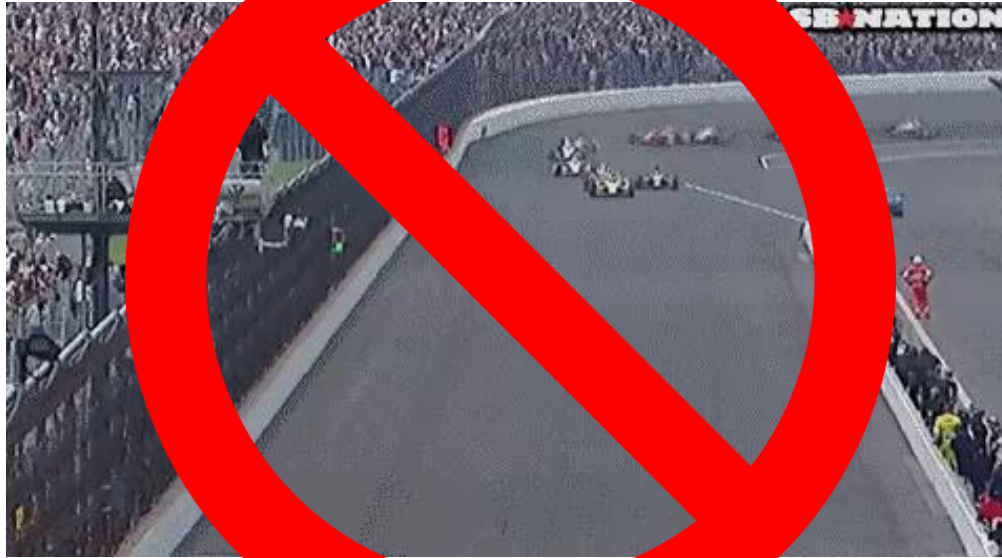
Auditing an IMS

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What is IMS?



INDIANAPOLIS MOTOR SPEEDWAY?

What is an IMS?

Integrated Management System

🔥 IAF MD 11

🔥 A single management system managing multiple aspects of organizational performance to meet the requirements of more than one management standard/specification, at a given level of integration.

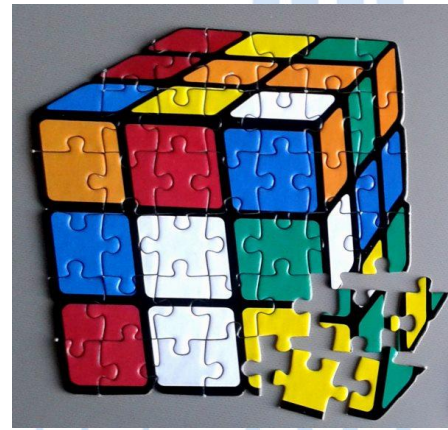
🔥 When an organization uses a single MS?

🔥 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/specification. *The level of integration may range from a combined system adding separate management systems processes for each set of audit criteria/standard, to an Integrated Management System, sharing in single system documentation, management system elements, and responsibilities.*

Why an IMS?

🔦 The **Integrated Management System (IMS)** integrates all of an organization's management systems and elements into one complete system. That system will:

- Meet requirements of several standards with one set of policies and procedures
- Capable to Audit more than one system at a time to save money and resources
- Improve organizational efficiency by removing duplicated tasks
- Clearly defined roles and responsibilities while highlighting common objectives
- Supports standardization between multiple business locations
- Make continuous improvement more effective
- Providing a common documentation structure



When to have an IMS

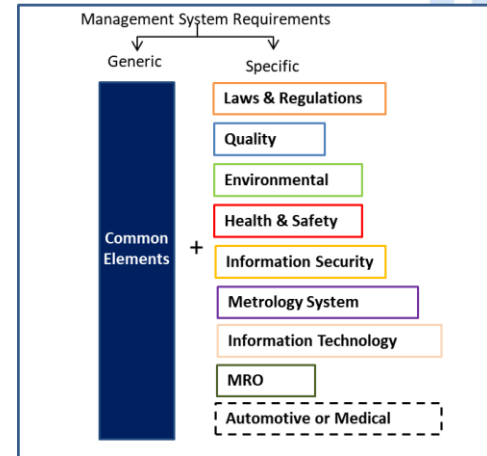
🔦 An Integrated Management System is relevant to organizations that:

- Have two or more management systems in place with or without certification
- Have certification for two or more external standards
- Have other External or Internal Requirements into the business

Note:

External requirements = Standards, Laws, Regulations, etc.

Internal Requirements = Internal needs of the business



What Are the Considerations for Auditing an IMS?

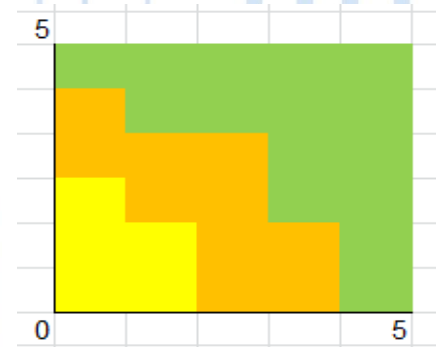
- 🔦 Level of Integration
- 🔦 Audit Plan
- 🔦 Audit Team
- 🔦 Audit Process
- 🔦 Certification
- 🔦 Surveillance and Recertification
- 🔦 Suspension, Reduction, Withdrawal



IMS Level of Integration

🔦 The level of integration of an organization is characterized by:

1. An integrated approach to policy and objectives;
2. Integrated management support and responsibilities.
3. An integrated approach to systems processes;
4. An integrated documentation set, including work instructions sufficient to cover all requirements;
5. An integrated approach to internal audits;
6. Management Reviews that consider the overall business strategy and plan;
7. An integrated approach to improvement mechanisms, (corrective and preventive action; measurement and continual Improvement); and



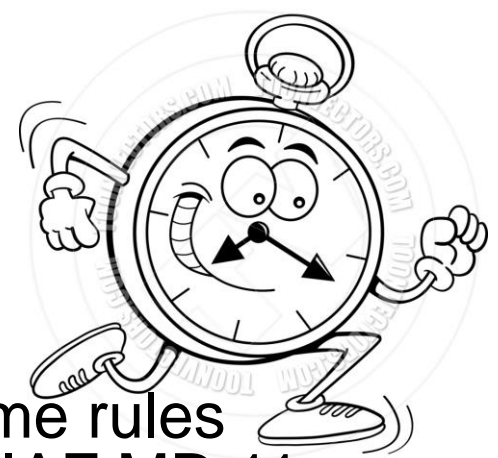
IMS Level of Integration

- 🔦 Common clauses and requirements
- 🔦 Contractual and regulatory reqmts can be included
- 🔦 Complexity of the of the organization
- 🔦 Scope(s) of the organization
- 🔦 Level of Org's system' integration
- 🔦 CBs must determine level of Integration

Feature	Standards						
	ISO 9001	ISO 14001	ISO 45001	9102	9116	9117	9131
Document Management	X	X	X				
Risk and Oppurtunity Management	X	X	X				
Internal Audits	X	X	X				
Management Reviews	X	X	X				
Monitoring	X	X	X				
Control of Non-conformance	X	X	X			X	
Continuous Improvement	X	X	X				
Change Management, Product	X				X		
Process Verification	X			X			
Product Release	X					X	

NOTE: The organization can have common vs different scopes for each standard and still have an integrated system, but they must be separate certifications if different.

An IMS Audit Plan



- 🔦 **Audit Duration** (addition and reduction) depends on Level of Integration and scheme rules (AS9104-1, Automotive, TL9000 etc.) and IAF MD 11
 - 🔦 2 Methods
 - 🔦 Standard Audit Approach
 - 🔦 Extended Audit Approach*
- 🔦 **AS9104-1** (currently) requires separate certifications and audits if there are different scopes including ISO 9001
 - 🔦 AQMS standards would be audited separately
 - 🔦 (Resolution 154)

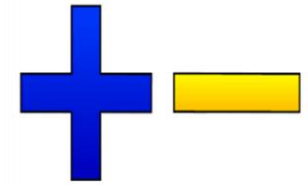
An IMS Audit Plan



🔦 Current **AQMS** Approach (per AS9104-1)

- 🔦 On site audit time for the AQMS standard shall not be used to audit any of the other management system requirements.
- 🔦 No reductions in the 9104-001 calculated AQMS audit duration shall be applied and the associated audit reports shall clearly indicate time used for the AQMS portion of the audit.
- 🔦 The CB shall add time for the additional management system audit activity in accordance with IAF MD 11 and, upon request, provide objective evidence that no AQMS audit duration was used to audit the additional management system standard(s).

An IMS Audit Plan



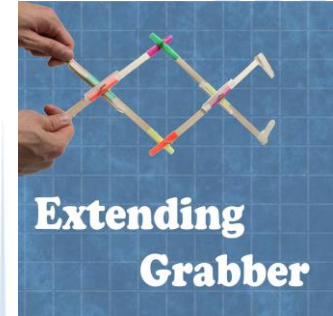
ADDITION
SUBTRACTION

Standard Audit Approach (per MD11)

- ✦ Calculate the required audit time for each standard separately (applying all relevant factors provided in the application and/or scheme rules for each standard) and calculate the **starting point for** duration of the audit adding the sum of the individual parts (e.g. $T = A + B + C$).
 - ✦ The **factors for reduction** shall 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 increases** shall include but are not limited to:
 - i) The complexity of the audit of an IMS compared with single management system audits.
- ✦ Audit of an IMS could result in increased time, but **where it results in reduction, it shall not exceed 20% from the starting point time (T).**

NOTE: Proposed for AQMS and other MS Standards

An IMS Audit Plan



🔦 Extended Audit Approach (per MD11)

- 🔦 Calculate the required audit time **for each standard separately** (applying all relevant factors provided for by the application and/or scheme rules for each standard and calculate the duration of the audit by taking the longest audit time for a single standard then add 50% of the audit time of each additional standard $T = A + 0,5 B + 0,5 C + \dots$ with $A > B$ and C
- 🔦 If EAA is used, a planning session with the client to fully understand the IMS, and its level of integration is required. Records of the planning session shall be maintained. **(Annex 1)**
- 🔦 **NOTE: proposed for AQMS only (AS9100, AS9110 and AS9120)**

An IMS Audit Team



- 🔦 Regardless of the Approach or Number of Standards
 - 🔦 The audit will be conducted by one or more auditors.
 - 🔦 The auditors are **competent** for one or more management system standards/specifications relevant for the scope of the audit.
 - 🔦 The audit team as a whole shall satisfy the competence requirements, established by the Certification Body, for each technical area, as relevant for each management system standard/specification covered by the scope of the audit of an IMS.
 - 🔦 The audit shall be managed by a team leader, competent in at least one of the audited standards/specifications (ISO/IEC 17021-1:2015 Note in 9.2.2.1.2).
- 🔦 When using Extended Audit Approach (EAA), the audit team leader shall have additional competence on applying the EAA methodology (**Annex 1**).

An IMS Audit Process



✦ EAA IMS Audits require:

- ✦ A mandatory planning session prior to the audit by the lead auditor.
- ✦ The lead auditor only will audit the clauses 4, 5, 6, 9 and 10 (of management system standards following the High Level Structure) of the IMS
- ✦ **Audit reports** shall be integrated for both approaches, unless required otherwise, with respect to the management systems audited. Each finding raised in an IMS report shall be traceable to the applicable management system standard(s).
- ✦ **Nonconformance** to one common requirement of the IMS is applicable to the entire IMS. A nonconformance is to one standard specific requirement, then it impacts the IMS in regard to that standard only.
- ✦ **AQMS audit results/report (9101) shall not be combined with the audit results for other certification schemes (e.g. ISO 14001) in one audit report. If required, an additional separate audit report should be generated for the combined standard(s).**

Certification of an IMS

- † During the Stage 1 the lead auditor shall confirm the level of integration of the IMS and the outcome of the planning session in case of EAA. The Certification Body shall have a process to review and modify, the audit duration.
- † The EAA planning session is conducted, prior or during Stage 1 or prior to a subsequent audit using EAA at first time and afterwards when there are major changes in the organization or the IMS of the organization ~~there shall be planning session~~. ICT may be used for the planning session in accordance with MD4.
- † The Planning session reviews the following inputs:
 - † - Scope of the activities of the company
 - † - Scope of the IMS and its components
 - † - Processes and structure of the organization
 - † - Level of Integration of the MS
 - † - Auditor competence requirements
- † The following outputs are expected:
 - † - Confirmation of full integration of the IMS
 - † - Confirmation of audit duration and audit team competence
 - † - Audit plan

Surveillance / Recertification of an IMS

- 🔦 The Certification Body shall confirm that the level of integration remains unchanged throughout the certification cycle to ensure that the **established audit durations** are still applicable. The details of this confirmation will be included in the audit records.



Suspension and Withdrawal of an IMS

🔦 Per IAF MD 11

🔦 If certification to one or more management system standard(s) is subject to suspension, reduction or withdrawal, the Certification Body shall investigate the impact of this on the certification to other management system standard(s).



To IMS or Not to IMS, that is the?

- 🔦 One Company – Multiple Requirements
 - 🔦 AS9100, ISO 14001, ISO 45001, etc.
- 🔦 One Company – Multiple Markets
 - 🔦 AS9100, ISO 9001, ISO 13485, etc.
- 🔦 One Company - Multiple Sites with Same Scopes
 - 🔦 AS 9100, AS9110 and AS9120
- 🔦 One Company - Multiple Sites with Different Scopes
 - 🔦 AS 9100, AS9110 and AS9120
- 🔦 One Company – Multiple sites with Multiple Markets/Rmqts
 - 🔦 AS9100, ISO 9001, ISO 13485, ISO 14001, ISO 45001

Resources

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Supply Chain Management Handbook (SCMH)

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- 1 Market & Sell
- 2 Design & Develop
- 3 Make
- 4 Buy
- 5 Deliver
- 6 Customer Support
- 7 Plan & Manage
- Webinars
- Appendices

Supply Chain Process Life Cycle

	Sales	Operations	Service		
C u s t o m e r	Market & Sell	Make (incl. Assemble & Test)	Customer Support	C u s t o m e r	
	Design & Develop		Deliver		
		Buy			
		Plan & Manage			

IAF MD 11:2019 International Accreditation Forum, Inc.



IAF Mandatory Document

INTERNATIONAL
IAF MANDATORY DOCUMENT
FOR THE APPLICATION OF
ISO/IEC 17021-1 FOR AUDITS OF
INTEGRATED MANAGEMENT SYSTEMS
INITIATIVE

Issue 2, Version 2

(IAF MD 11:2019)

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***EVERY ENDING
IS REALLY JUST A
NEW BEGINNING***

24Slides