APPLICATION OF ISO/IEC 17021-1 FOR AUDITS OF INTEGRATED MANAGEMENT SYSTEMS

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FURTHER INFORMATION

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0. PREAMBLE

0.1 Purpose

This document provides information on the application of ISO/IEC 17021-1 for audits of integrated management systems.

0.2 Scope

0.2.1 This document is based upon the IAF (International Accreditation Forum) document IAF MD 11 *IAF Mandatory Document for the Application of ISO/IEC 17021-1 for Audits of Integrated Management Systems*. On the transfer of the role of IAF to the Global Accreditation Cooperation Incorporated (Global Accreditation Cooperation Incorporated), the text has been reformatted to be a Global Accreditation Cooperation Incorporated document without any substantive change to the text.

0.2.2 This document is mandatory for the consistent application of clause 9.1.6 of ISO/IEC 17021-1 by certification bodies (CBs) for planning and delivery of audits of Integrated Management Systems (IMS).

0.2.3 This document provides requirements for the application of ISO/IEC 17021-1 for the planning and delivery of audits of IMS and, if appropriate, the certification of an organisation's management system(s) against two or more sets of audit criteria/standards. All clauses of ISO/IEC 17021-1 continue to apply and this document does not supersede any of the requirements in that standard.

0.2.4 This document may be applicable to sector-specific/scheme standards unless specifically prohibited by the sector-specific/scheme standard.

0.2.5 It shall be noted that the annex at the end of this document is also part of the requirements and shall be read as such.

0.2.6 The term "should" is used in this document to indicate recognised means of meeting the requirements of the standard. A Conformity Assessment Body (CAB) can meet these in an equivalent way provided this can be demonstrated to an Accreditation Body (AB). The term "shall" is used in this document to indicate those provisions which, reflecting the requirements of the relevant standard, are mandatory.

1. DEFINITIONS

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

1.1 **Audit of Integrated Management System**: An audit of an organisation'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 organisational 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 organisation uses one single management system to manage multiple aspects of organisational 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.

Note: Audit criteria are intended to mean management system standards used as a basis for conformity assessment and certification (e.g. ISO 9001, ISO 14001, ISO/IEC 20000, ISO 22000, ISO/IEC 27001, etc.).

2. APPLICATION

2.1 The CB shall ensure that:

i) In establishing the audit programme the level of integration of the management system(s) is considered.

ii) 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).

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

iv) The audit shall be managed by a team leader, competent in at least one of the audited standards/specifications.

v) Sufficient time is allocated to accomplish a complete and effective audit of the organisation’s management system for the management system standards/specifications covered by the scope of the audit.

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

i) Calculate 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. Global Accreditation Cooperation Incorporated-TECH-3-004, ISO 22003-1, ISO/IEC 27006).

ii) Calculate 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).

iii) Adjust 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 shall include but are not limited to:

a) The extent to which the organisation’s management system is integrated.

b) The ability of the organisation’s personnel to respond to questions concerning more than one management systems standard.

c) 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:

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

iv) Inform 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.

2.1.2 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 (2.1.1 ii).

2.1.3 The starting point figure and justification for increase or reduction shall be documented.

2.2 Existing application documents (e.g. Global ACI mandatory documents) relating to audits of management systems standards/specifications need to be considered 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 shall be audited.

2.4 Audit reports can be integrated or separate, with respect to the management systems audited. Each finding raised in an integrated report shall be traceable to the applicable management system standard(s)/specification(s).

2.5 The CB shall consider the impact that a 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 shall confirm the level of integration of the IMS. The CB shall review and modify, as necessary, the audit duration that was based on information provided at the application stage.

4. SURVEILLANCE AND RECERTIFICATION ACTIVITIES

The CB shall confirm 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 CB shall investigate the impact of this on the certification to other management system standard(s)/specification(s).

6. AMENDMENT TABLE

Section	Previous Version	Summary of Changes
All	-	Initial issue of Global ACI document

ANNEX 1 – REDUCTION OF AUDIT TIME

Figure 1

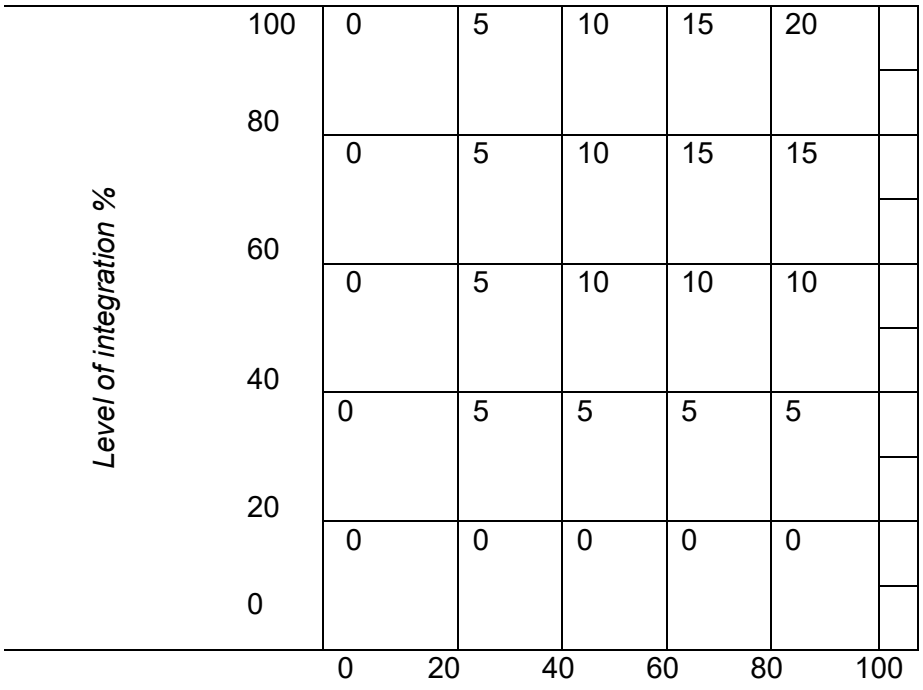

Figure 1: This figure illustrates the reduction (%) in integrated audit duration and its relationship to:

Vertical axis: The level of integration of an organisation'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 organisation uses one single management system to manage multiple aspects of organisational performance. It is characterised 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).
7. Integrated management support and responsibilities.

The CB must decide the percentage level of integration based upon the extent to which the organisation's management system meets the above criteria.

And

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 optimised logistics.
4. Time saved in auditor team meetings.
5. Time saved auditing common elements simultaneously, e.g. document control.