


Audit Time



Standard audit approach: 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 Certification Body shall:

- Calculate the time for each management system standard/specification separately.
- Calculate the duration of the audit of by adding time of each standard.
- Consider the factors for reduction or increase

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.
- 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

- inform the client that the duration of an IMS audit based on the declared level of integration of the organization's management system may be subject to adjustment on the basis of confirming the level of integration at Stage 1 and subsequent audits.
- Reduction shall not exceed 20%. The starting point figure and justification for increase or reduction shall be documented.

Audit Time




Extended audit approach: To determine the audit time for an audit of an IMS covering two or more management system standards/specifications, using the Extended Audit Approach:

- a) calculate the required audit time for each management system standard/specification separately
- b) take the longest audit time for a single standard from the IMS 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 ; and
- c) final confirmation of audit duration is done at the planning session, however, it will not be inferior to the one obtained by applying the methodology of the preceding bullets.


- Audit reports shall be integrated for both approaches, unless required otherwise, 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).
- The CB shall consider the impact that a nonconformity found for one management system standard/specification has impact on the compliance with the other management system standard(s)/specification(s).
- If the organization is not conforming to one of the common requirements of the IMS, the nonconformity is applicable to the entire IMS. If the organization is not conforming to one standard specific requirement, then it impacts the IMS in regard to that standard only.

Initial audit and certification



- Client Application shall include the level of integration of documents, management system elements and responsibilities
- During a Stage 1 Audit, the audit team shall confirm the level of integration of the IMS.
- The CB shall review and modify the audit duration if any change found against the application review information.
- During Surveillance or recertification, the CB shall confirm that the level of integration remains unchanged throughout the certification cycle.
- If CB suspends/withdraws one management system standard from the scope, CB to investigate impact of this on the other standards certified.

EXTENDED AUDIT APPROACH




- The EAA requires an advanced planning session with the client prior to final determination of audit time.
- Conclude at the Stage 1 that the EAA is eligible by reviewing that:
- The EAA planning session is conducted prior or during Stage 1 or prior to a subsequent audit with application of the EAA at first time and afterwards when there are major changes in the organization or the Integrated Management System of the organization.
- Information and Communication Technologies (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 - Confirm audit team competence - Audit plan

Reduction in Audit time



ANNEX 3 Reduction in Audit Time

Figure 1

| | | | | | | |
|-----|---|----|----|----|----|-----|
| | 0 | 5 | 10 | 15 | 20 | |
| 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 | 5 | 0 | 0 | 0 | |
| 0 | 0 | 0 | 0 | 0 | 0 | |
| | 0 | 20 | 40 | 60 | 80 | 100 |

Ability to perform combined audit %

Vertical axis: the level of integration of an organization's management system
 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:

$$100 \frac{(X_1-1) + (X_2-1) + (X_3-1) + (X_n-1)}{Z(Y-1)}$$

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.

Thank you!









