

IAF MD 11:2019 for the application of ISO/IEC 17021 for audits of integrated management systems

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INTRODUCTION :

Requirements for the application of ISO/IEC 17021 for the planning and delivery of audits of IMS.

DEFINITIONS :

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.

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. 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.

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

Application



APPLICATION:

The CB shall ensure following while applying this MD:

- $\bullet \ \ In establishing the audit program the level of integration of the management system (s) is considered.$
- 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).
- 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.

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

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Standard audit approach: To determine the audit time for an audit of an IMS covering two or m 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.
- The availability of auditor(s) competent to audit more than one management system The availability of the audit of some than one management system standard/specification.

 The factors for increases shall include but are not limited to:

 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.
- ction shall not exceed 20%. The starting point figure and justification for increase or reduction shall

Audit Time



Extended audit approach: To determine the audit time for an audit of an IMS covering two or 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 + ... 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).
- he organization is not conforming to one of the common requirements of the IMS, the nonconformity i 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 a
- 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
- 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 Session that MD5 and its propagators.

- 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



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:

oo ((X1-1) + (X2-1) + (X3-1) + (Xn-1)) / Z(Y-1)

n is the number of standards for which an auditor is qualified relevant for the scope of the integrated audit; Y mber of management system standards to be covered by integrated audit; Z is the number of auditors.

Thank you!









