



IAF Mandatory Document



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

Issue 2, Version 2

(IAF MD 11:2019)

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The IAF MLA is structured in five levels: Level 1 specifies mandatory criteria that apply to all ABs, ISO/IEC 17011. The combination of a Level 2 activity(ies) and the corresponding Level 3 normative documents is called the main scope of the MLA, and the combination of Level 4 (if applicable) and Level 5 relevant normative documents is called a sub-scope of the MLA.

- The main scope of the MLA includes activities e.g. product certification and associated mandatory documents e.g. ISO/IEC 17065. The attestations made by CABs at the main scope level are considered to be equally reliable.
- The sub scope of the MLA includes conformity assessment requirements e.g. ISO 9001 and scheme specific requirements, where applicable, e.g. ISO TS 22003. The attestations made by CABs at the sub scope level are considered to be equivalent.

The IAF MLA delivers the confidence needed for market acceptance of conformity assessment outcomes. An attestation issued, within the scope of the IAF MLA, by a body that is accredited by an IAF MLA signatory AB can be recognized worldwide, thereby facilitating international trade.

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Introduction to IAF Mandatory Documents

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.

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

This document is mandatory for the consistent application of ISO/IEC 17021-1 by Certification Bodies (CBs) for planning and delivery of Audits of Integrated Management Systems (IMS).

0. INTRODUCTION

0.0 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 organization'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 add to or supersede any of the requirements in that standard.

0.1 This document is applicable to ISO standard based sector-specific management systems standards if the Scheme Owner allows it. Non-ISO based schemes may also find this document useful for integrated management system auditing.

0.2 It shall be noted that the Annexes at the end of this document are also part of the requirements and shall be read as such unless noted otherwise.

1. DEFINITIONS

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

1.1 Integrated Management System:

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 (1.2).

1.2 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/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.

1.3 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.

1.4 Types of Audit Approaches

1.4.1 Standard Audit Approach of Integrated MS

- a) The audit will be conducted by one or more auditors.
- b) The auditors are qualified for one or more management system standards/specifications relevant for the scope of the audit.

1.4.2 Extended Audit Approach (EAA) of integrated MS

- a) The EAA is applicable only to organizations with fully integrated management systems (See criteria in Annex 2).
- b) The audit will be conducted by one or more auditors.
- c) The auditors are qualified for one or more management system standards/specifications relevant for the scope of the audit.
- d) The EAA employs a mandatory planning session prior to the audit (content see Annex 1) by the lead auditor.
- e) The lead auditor only will audit the clauses 4, 5, 6, 9 and 10 (of management system standards/specifications following the High Level Structure) of the Integrated Management System.

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 Certification Body shall identify the approach to apply – standard (2.2) or Extended Audit Approach (2.3) and ensure 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.

2.1.3 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.

2.1.4 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).

2.1.5 Sufficient time shall be 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.

2.2 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:

- a) 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., IAF MD 4, IAF MD5, ISO/TS 22003, ISO/IEC 27006);
- b) calculate the starting point T for the duration of the audit of the IMS by adding the sum of the individual parts (e.g. $T = A + B + C$);
- c) adjust the starting point figure by taking into account factors that may increase or reduce (see Annex 2) the time required for the audit.

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.

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- d) 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.

2.2.1 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 (2.2.b).

2.3 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 (applying all relevant factors provided for by the relevant application documents and/or scheme rules for each standard, e.g., IAF MD 4, IAF MD5, ISO/TS 22003, ISO/IEC 27006);
- 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 (2.4), however, it will not be inferior to the one obtained by applying the methodology of the preceding bullets.

2.4 Existing application documents (e.g., IAF Mandatory Documents) relating to audits of management systems standards/specifications need to be considered when developing audit program and audit plans for an IMS. If EAA is taken it is necessary to conduct a planning session with the client to fully understand the IMS, and its level of integration (part of the 20 percent offsite time may be used for this planning session). Records of the planning session shall be maintained.

2.5 All applicable requirements of each management system standard/specification relevant to the scope of the IMS shall be audited.

2.6 The starting point figure for determining the audit time and justification for increase or reduction shall be documented

2.7 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).

2.8 The Certification Body 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 non-conformity 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.

2.9 The Certification Body shall consider the calculation method for the multi-site audits (MD 1, section 6), when conducting multi-side audits.

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 2).

3.2 Stage 1 Audit

During a Stage 1 Audit, the audit team shall confirm the level of integration of the IMS and the outcome of the planning session in case of the EAA (2.3). The lead auditor shall confirm the level of integration – see Annex 1. The Certification Body shall have a process to review and modify, as necessary, the audit duration that was based on information provided at the application stage.

4. SURVEILLANCE AND RECERTIFICATION ACTIVITIES

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.

5. SUSPENSION, REDUCTION, WITHDRAWAL

If certification to one or more management system standard(s)/specification(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)/specification(s).

End of IAF Mandatory Document for the Application of ISO/IEC 17021-1 for Audits of Integrated Management Systems.

ANNEX 1 – EXTENDED AUDIT APPROACH

The EAA requires an advanced planning session with the client prior to final determination of audit time and effective structuring of the audit plan according to the client's processes, IMS and structure.

Conclude at the Stage 1 that the EAA is eligible by reviewing that:

- The objectives to be achieved for one of the aspects of organisational performance (e.g. environmental) will not affect adversely the achievement of the objectives for the other aspect(s) (e.g. quality); and
- External and internal issues affecting the ability to achieve intended outcomes of each aspect of organisational performance that the IMS is managing are not counteracting the achievement of outcomes in another set of aspects (ref. def. 1.3).

EAA Planning session

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

ANNEX 2 – REDUCTION OF AUDIT TIME FOR STANDARD AUDIT APPROACH

Figure 1

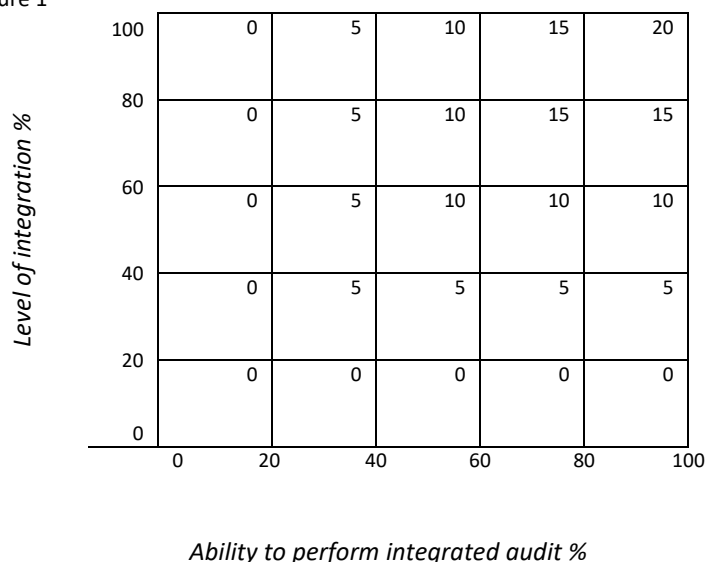


Figure 1: This figure illustrates the reduction (%) in integrated audit duration and its relationship to:

Vertical axis: the level of integration of an 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.

The Certification Body must decide the percentage level of integration based upon the extent to which the organization'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:

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

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.

Further Information

For further Information on this document or other IAF documents, contact any member of IAF or the IAF Secretariat.

For contact details of members of IAF see the IAF website: <http://www.iaf.nu>.

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