

Integrated Audits

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Presented By:

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Topics of Discussion



1. Why Integrate Audits
2. What is an Integrated Audit
3. Planning an Integrated Audit
4. Is Integration the Solution

1. Why Integrate Audits

- Today's environment requires that most organizations conduct at least one audit each year such as:
 - ◆ Internal EMS audit (4.5.5 of ISO 14001)
 - ◆ Evaluation of Compliance to Legal and Other Requirements (4.5.2 of ISO 14001)
 - ◆ Internal HSMS audit (4.5.4 of OHSAS 18001)
 - ◆ Proactive measures that monitor compliance with applicable legislation and regulatory requirements (4.5.1 of OHSAS 18001)
 - ◆ Internal QMS audit (8.2.2 of ISO 9001)

1. Why Integrate Audits

- In addition, for those organizations that have a registered management system (or systems), third party registration / maintenance audits are required.
- As a result, organizations spend more and more resources (e.g. time, people, money) to meet these obligations.

1. Why Integrate Audits

- This has led to

AUDITING FATIGUE

- Symptoms ...
exhaustion and the dreaded “not looking forward to meeting the auditors”
- What can be done?



1. Why Integrate Audits

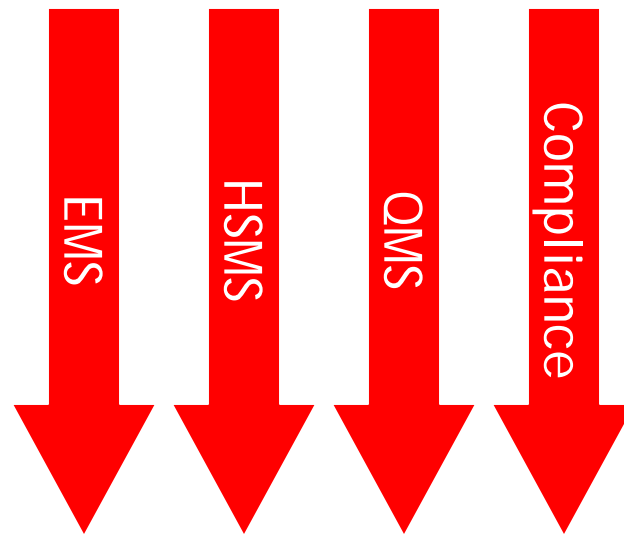
- Based on my experiences, a significant change in auditing has occurred in 2006 towards integrating audits.



Year	Integrated	Not Integrated	# Audits
2006	70%	30%	10
2005	17%	83%	12
2004	20%	80%	10
2003	33%	67%	9

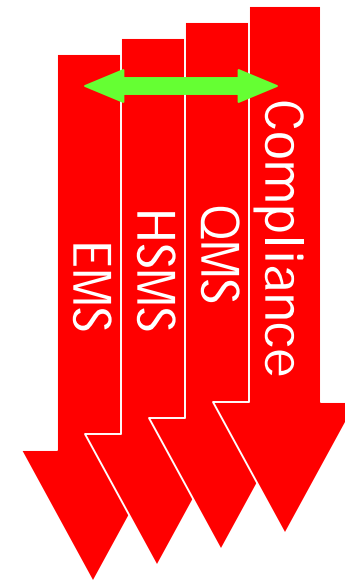
2. What Is an Integrated Audit

- We need to understand what an integrated audit is.
- Which example best illustrates this concept?



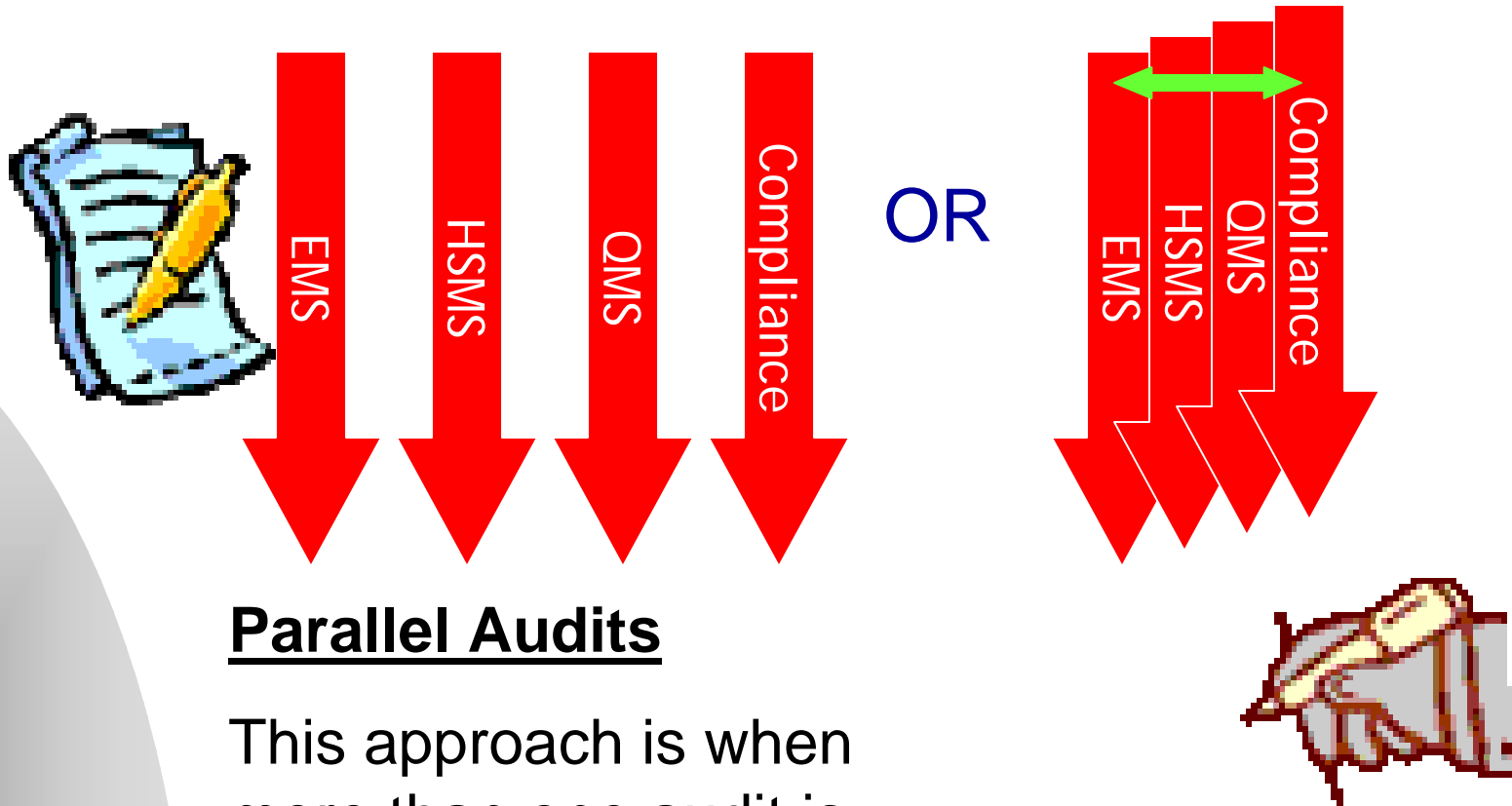
Example 1

OR



Example 2

2. What Is an Integrated Audit

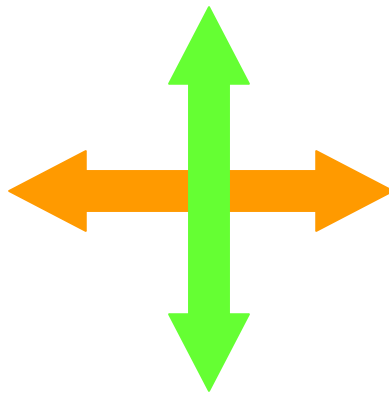


Parallel Audits

This approach is when more than one audit is conducted at the same time.

2. What Is an Integrated Audit

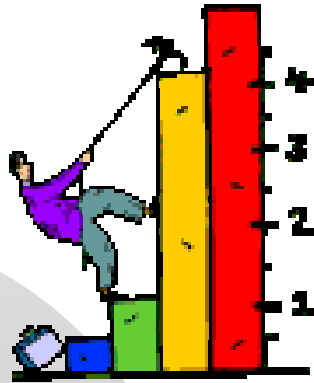
- A simple way of thinking of an integrated audit is to consider the following rule of thumb:



Elements or subject areas that are common to more than one audit are integrated

Elements or subject areas that are unique to an audit are not integrated

3. Planning an Audit



- The first time you integrate audits will be challenging and a learning experience.
 - ◆ As part of continual improvement, remember that the process will improve over time.

Key considerations:

1. Which audits to integrate.
2. Selection of Audit Team.
3. Duration of audit.
4. Audit schedule.

3. Planning an Audit

1. Which audits can be integrated?

- My general rule is that any audit can be integrated as long as it is planned well.
- Based on my experience, let's review some combinations of audits that have worked well.

3. Planning an Audit

- Environmental, Health & Safety and/or Quality Management Systems
- Environmental Management System and Compliance
- Health & Safety Management System and Compliance
- And for the VERY ambitious ...
Environmental and Health & Safety MS and Compliance

3. Planning an Audit

2. Selection of Audit Team

- The qualifications of the audit team will depend on the objectives of the audit.
- At a minimum, the audit team must have subject matter experts such as:
 - EMS
 - HSMS
 - QMS
- This can be achieved by one or multiple individuals.

3. Planning an Audit

2. Selection of Audit Team

- In an ideal situation, the audit team leader will have the competency to audit all or most of the objectives.
- This can prove to be a challenge since most auditors specialize in environment, safety or quality.
- More and more auditors are gaining the competency to audit EHS
- While they exist, there are very few who can audit EHS and Quality



3. Planning an Audit

3. Duration of audit

- The most common question asked is ... how long should the audit be?
- This is going to be a challenge for the first audit since you won't have any experience to draw on.
- What you can rely on is data from past audits.

3. Planning an Audit

3. Duration of audit

- Remember though that the math will not add up ...

5 auditor day EMS Audit +

5 auditor day QMS Audit +

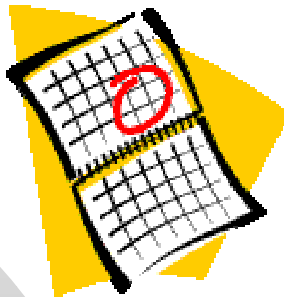
5 auditor day HSMS Audit

≠ 15 auditor day EHSQ MS Audit

(this audit could probably be completed in 10 auditor days)

3. Planning an Audit

4. Audit Schedule



- Spend adequate time scheduling the audit (this is a key step).
- Focus on which individuals are responsible for the subject areas and try to interview them only once.
- It is also important to have one auditor audit a subject area so that you have consistency in approach and increased knowledge of subject area.
- Let's review an example of a SEQ MS Audit.

3. Planning an Audit

Integrated SEQ Elements

ISO 14001:2004	OHSAS 18001:1999	ISO 9001:2000	ELEMENT
4.1	4.1	4.1	General Requirements
4.2	4.2	5.3	Policy
4.3.2	4.3.2	-	Legal and Other Requirements
4.3.3	4.3.3, 4.3.4	5.4.1	Objectives, Targets and Programs
4.4.1	4.4.1	5.5.1, 5.5.2, 6.1	Organization/Resources, Roles, Responsibility and Authority
4.4.2	4.4.2	6.2	Competence, Training and Awareness
4.4.3	4.4.3	5.5.3	Consultation and Communication
4.4.4	4.4.4	4.2	Documentation
4.4.5	4.4.5	4.2.3	Document and Data Control
4.4.6	4.4.6	-	Operational Control (contractors and suppliers)
4.4.7	4.4.7	-	Emergency Preparedness and Response
4.5.2	4.5.1		Evaluation of Compliance
4.5.3	4.5.2	8.5.2, 8.5.3	Accidents, Incidents, Nonconformity and Corrective and Preventive Action
4.5.4	4.5.3	4.2.4	Control of Records
4.5.5	4.5.4	8.2.2	Internal Audits
4.6	4.6	5.6	Management Review

3. Planning an Audit

EMS Elements

ISO 14001:2004	ELEMENT
4.3.1	Environmental Aspects
4.4.6	Operational Control*
4.5.1	Monitoring and Measurement*

Note: *Auditor's focus will be on management of SEAs.

HSMS Elements

OHSAS 18001:1999	ELEMENT
4.3.1	Planning for Hazard Identification, Risk Assessment and Risk Control
4.4.6	Operational Control *
4.5.1	Performance Measurement and Monitoring *

Note: *Auditor's focus will be on management of hazards.

3. Planning an Audit

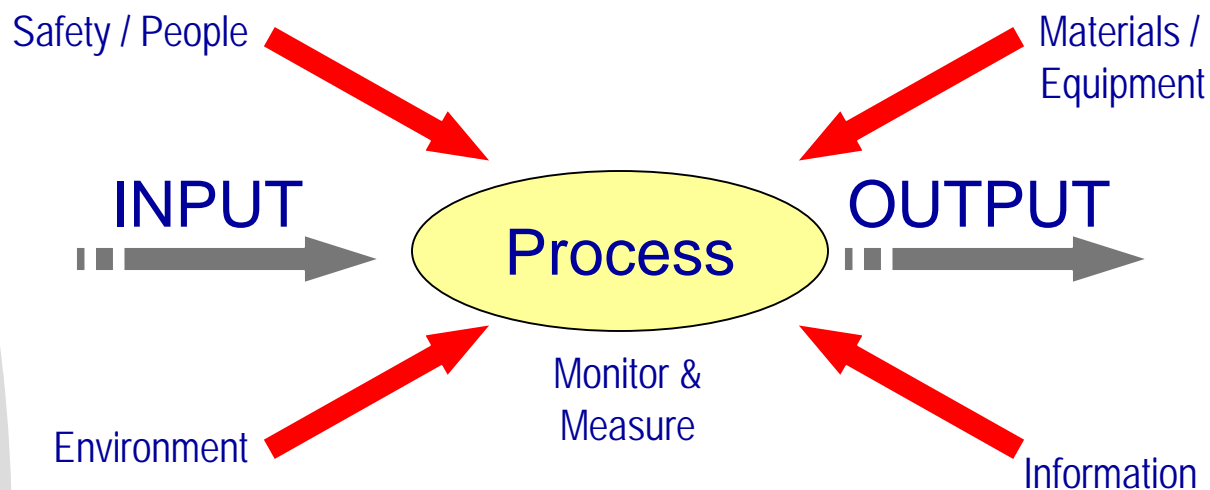
QMS Elements

ISO 9001:2000	ELEMENT
5	Management responsibility
5.1	Management commitment
5.2	Customer focus
5.4	Planning
5.4.2	Quality management system planning
6	Resource management
6.3	Infrastructure
6.4	Work environment
7	Product realization
7.1	Planning of product realization
7.2	Customer-related processes
7.2.1	Determination of requirements related to the product
7.2.1	Review of requirements related to the product
7.2.3	Customer communication
7.3	Design and development
7.4	Purchasing
7.5	Production and service provision
7.6	Control of monitoring & measuring devices
8	Measurement, analysis & improvement
8.1	General
8.2	Monitoring and measurement
8.2.1	Customer satisfaction
8.2.3	Monitoring and measurement of processes
8.2.4	Monitoring and measurement of product
8.3	Control of nonconforming product
8.4	Analysis of data
8.5	Improvement
8.5.1	Continual improvement

3. Planning an Audit

4. Audit Schedule

- Good idea to organize audit based on processes or departments.
- Cover all SEAs, Hazards and other elements of the MS that relate to the process / department during a specified time.
- This helps to understand inputs and outputs.



3. Planning an Audit

4. Audit Schedule

- If including compliance to the scope of the audit, it is important to select SEAs and/or Hazards that align with the subject areas. For example:
 - SEA: Hazardous waste; Compliance: Ontario Reg 347
 - Hazard: Craning and rigging; Compliance: Ontario Reg 851

4. Is Integration the Solution

You decide ...

Advantages

- Efficient
- Cost-effective
- Minimizes disruption on operations

Disadvantages

- Longer audits (can be tiring for both the audit team and the auditor guides)
- Larger audit teams
- Difficult to find competent auditors

The End ... Thanks.

