

INTEGRATING MANAGEMENT SYSTEM STANDARDS

1. INTRODUCTION

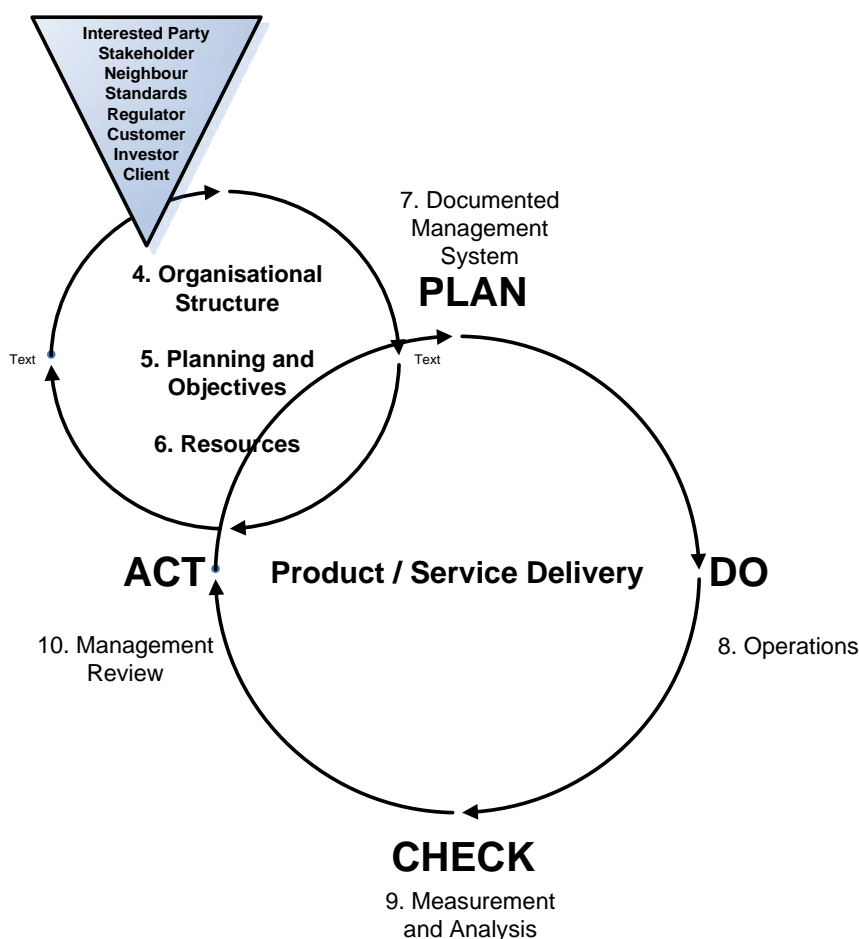
This document sets out a proposed structure for the integration of three major management system standards; namely ISO 9001:2008, ISO 14001:2004 and OHSAS 18001:2007.

This document refers to the clauses of the relevant standards but does not cite the text in order to avoid infringement of copyright. Standards may be purchased separately from NSAI Standards Sales at www.standards.ie.

This document is intended for organisations seeking to obtain certification to one or more of the standards cited above and who intend, now or in the future, to integrate them into a single auditable system. This is not the only acceptable structure but it is intended to facilitate an acceptable model and allow the user to concentrate on effective implementation rather than struggling with the structure of integration.

This document is not aligned with PAS 99 (a UK publicly available specification for integrated systems as an alignment with current single focus standards is sought. ISO will publish an integrated model for certification at some time in the future but, currently, the structure and text is not developed.

The following diagram gives the schematic structure of the system and clauses:



2. SCOPE

Integration of ISO 9001:2008, ISO 14001:2004 and OHSAS 18001:2007.

3. DEFINITIONS

Integration (of standards): Using different standards in a seamless manner to provide a common system which satisfies each standard.

4. ORGANISATIONAL STRUCTURE

This section is concerned with the organisational structure relating to the integrated management system

4.1 Management and Organisation

- **ISO 9001:2008 – 4.1**
- **ISO 14001:2004 - 4.1**
- **OHSAS 18001:2007 - 4.1**

Requirement to establish a system with defined scope

4.2 Management commitment

- **ISO 9001:2008 - 5.1**

Requirement to demonstrate commitment to implementation and effectiveness from top management

4.3 Customer and Stakeholder focus

- **ISO 9001:2008 - 5.2**

Requirement to focus on customers and stakeholders with the aim of satisfying their reasonable expectations

4.4 Policy

- **ISO 9001:2008 - 5.3**
- **ISO 14001:2004 - 4.2**
- **OHSAS 18001:2007 - 4.2**

Requirement for top management to publish a policy which, as a minimum, needs to be relevant, committing to improvement and regulatory compliance and be communicated to all persons within the scope of the system.

This is a framework for setting objectives and for establishing and prioritising programmes.

The policy is publicly available, regularly reviewed and up-dated if necessary

4.5 Responsibility and authority

- **ISO 9001:2008 - 5.5**

Requirement for top management to establish an organisation with defined responsibilities and authorities for achieving its policies.

4.5.1 Management representative

- **ISO 9001:2008 - 5.5.2**

A key position is the Management Representative who is a member of top management and has particular responsibilities for the management system (which can be among other responsibilities and authorities).

The Management Representative normally communicates with external bodies on matters relating to performance of the integrated system as well as internally within the organisation.

4.5.2 Roles, Responsibilities, Accountability and Authorities

- **ISO 9001:2008 - 5.5.1**
- **ISO 14001:2004 - 4.4.1**
- **OHSAS 18001:2007 - 4.4.1**

Roles and responsibilities need to be documented.

4.6 Communication

7.6.1 Internal Communication

- **ISO 9001:2008 - 5.5.3**
- **ISO 14001:2004 - 4.4.3**
- **OHSAS 18001:2007 - 4.4.3.1**

Effective communication on the requirements and performance of the integrated system is required to all personnel working within the organisation including contracted staff and visitors. Communication needs to be relevant to the roles and interactions of the personnel.

Communication is required to visitors and contractors as appropriate.

7.6.1.1 Participation and consultation in Health and Safety

- **OHSAS 18001:2007 - 4.4.3.2**

There are particular requirements for Health and Safety participation and consultation.

7.6.2 External Communication

- **ISO 14001:2004 - 4.4.3**
- **OHSAS 18001:2007 - 4.4.3**

Although there is no requirement to communicate externally unless required to do so by legislation or regulations to which the organisation subscribes, it is necessary to have the process for external communication defined. This covers routine reporting as well as accident and incident reporting.

5 PLANNING AND OBJECTIVES

- **ISO 14001:2004 - 4.3.1**
- **OHSAS 18001:2007 - 4.3.1**

The management system is to be planned to address the most significant aspects.

5.1 Quality management system – Process Management

- **ISO 9001:2008 - 4.1**
- **ISO 9001:2008 - 5.4.2**
- **ISO 9001:2008 - 7.1**

The QMS needs to be process mapped to allow it to be effectively managed by process. Every process needs to have a structure which includes linked activities, resources, responsibilities and authorities, operational targets and actions to be taken if necessary to bring process to optimum performance. Operational targets need to relate to the policies of the organisation. Risk analyses may be used to determine the controls and degree of monitoring that are appropriate.

EMS and OHSAS activities do not need to be organised by process but some organisations may consider this beneficial. However, all processes need to incorporate environmental and/or health and safety requirements as appropriate.

Processes need to strive to be effective and efficient whilst having adequate robustness and agility.

There is a focus on outsourced processes where they impact on the performance of the product or management system. Control has to be proportionate to the risks which the outsourcing poses to the organisation.

5.2 Environmental aspect and hazard identification, risk assessment and controls

Requirement to assess the significant environmental aspects and health and safety hazards and their respective impacts.

5.3 Legal and other requirements

- **ISO 14001:2004 - 4.3.2**
- **OHSAS 18001:2007 - 4.3.2**

Requirement to identify all applicable legal and other requirements and to determine how these requirements apply to the organisation.

5.4 Objectives, targets and programme(s)

- **ISO 14001:2004 - 4.3.3**
- **OHSAS 18001:2007 - 4.3.3**

Requirement to have objectives and targets and to establish programmes for achieving these targets.

6 RESOURCE MANAGEMENT

6.1 Provision of resources

- **ISO 9001:2008 - 6.1**

Requirement to understand the resources necessary to provide the required level of product standard and to maintain and continually improve the management system. Key indicators are customer and stakeholder satisfaction.

6.2 Human resources

- **ISO 9001:2008 - 6.2**

6.2.1 General

- **ISO 9001:2008 - 6.2.1**

Requirement for personnel to be competent for the work undertaken.

6.2.2 Competence, training and awareness

- **ISO 9001:2008 - 6.2.2**
- **ISO 14001:2004 - 4.4.2**
- **OHSAS 18001:2007 - 4.4.2**

Requirement to develop criteria for competence necessary. Personnel to be assessed against these criteria. Training to be given, as necessary, to ensure that the required competence and awareness is achieved. Personnel should be aware of the consequences of departing from specified procedures including emergency preparedness.

6.3 Infrastructure

- **ISO 9001:2008 - 6.3**

Requirement for the organisation to have suitable infrastructure including premises, utilities, equipment and support services.

6.4 Work environment

- **ISO 9001:2008 - 6.4**

Requirement for the work environment to be suitable.

7 DOCUMENTED MANAGEMENT SYSTEM

This section is concerned with the Integrated Management System

7.1 Documentation and Records

- **ISO 9001:2008 - 4.2.1**
- **ISO 14001:2004 - 4.4.4**
- **OHSAS 18001:2007 - 4.4.4**

Requirement that the quality system includes a manual, policies, procedures and documents.

7.2 System manual

- **ISO 9001:2008 - 4.2.2**

Requirement for a quality manual.

7.3 Control of documents

- **ISO 9001:2008 - 4.2.3**
- **ISO 14001:2004 - 4.4.5**
- **OHSAS 18001:2007 - 4.4.5**

Requirement to control documents to show approval and revision status. Documents to be available, identifiable and legible. Obsolete documents are to be precluded from unintended use.

7.4 Control of records

- **ISO 9001:2008 - 4.2.4**
- **ISO 14001:2004 - 4.5.4**
- **OHSAS 18001:2007 - 4.5.4**

Requirement for legible records to be available to demonstrate that the system is effectively operating.

8 OPERATIONS MANAGEMENT

- **ISO 14001:2004 - 4.4.6**
- **OHSAS 18001:2007 - 4.4.6**

Requirement for operational controls to be put in place consistent with process structure, objectives, significant aspects, hazards and risks.

8.1 Customer-related processes

- **ISO 9001:2008 - 7.2**

NOTE: Refer to 4.3

8.1.1 Determination of requirements related to the product

- **ISO 9001:2008 - 7.2.1**

Requirement to understand the requirements of the customer and regulations, both stated and implied.

8.1.2 Review of requirements related to the product

- **ISO 9001:2008 - 7.2.2**

Requirement to know what the customer wants and to advise if these can or can not be fulfilled.

8.1.3 Customer communication

- **ISO 9001:2008 - 7.2.3**

Requirement to have appropriate systems for communicating with the customer at all appropriate interfaces from enquiry to delivery and after-sales.

8.2 Design and development

- **ISO 9001:2008- 7.3**

8.2.1 Design and development planning

- **ISO 9001:2008 - 7.3.1**

Requirement to plan and organise design and development activities.

8.2.2 Design and development inputs (ISO 9001:2008 7.3.2)

In line with process management, the inputs have to be defined

8.2.3 Design and development outputs

- **ISO 9001:2008 - 7.3.3**

In line with process management, the outputs have to be defined

8.2.4 Design and development review

- **ISO 9001:2008 - 7.3.4**

The ability of the design to satisfy both the inputs and outputs is to be reviewed during the design project at appropriate stage(s)

8.2.5 Design and development verification

- **ISO 9001:2008 – 7.3.5**

Specific aspects of the design criteria shall be verified as meeting requirement at appropriate stages

8.2.6 Design and development validation

- **ISO 9001:2008 - 7.3.6**

The design need to be validated as meeting the functional requirements

8.2.7 Control of design and development changes

- **ISO 9001:2008 - 7.3.7**

Change in design needs to be controlled, coordinated, authorised and supported by appropriate records.

8.3 Purchasing

- **ISO 9001:2008 - 7.4**

Requirement that all purchased products and services meet specified requirements

8.3.1 Purchasing process

- **ISO 9001:2008 - 7.4.1**

Requirement to have a purchasing process that ensures that product delivered conforms with specified requirements.

8.3.2 Purchasing information

- **ISO 9001:2008 - 7.4.2**

Requirement for the purchasing information to specify the product to be purchased.

8.3.3 Verification of purchased product

- **ISO 9001:2008 - 7.4.3**

Requirement to have appropriate methods of verifying that purchased product meets requirements

8.4 Production and service provision

- **ISO 9001:2008 - 7.5**

Requirement that the operational elements of the organisation are appropriately controlled.

8.4.1 Control of production and service provision

- **ISO 9001:2008 - 7.5.1**

Requirement to stipulate the controls that are required for production and service provision.

8.4.2 Validation of processes for production and service provision

- **ISO 9001:2008 - 7.5.2**

Requirement to ensure that, where the results of process(es) can not be measured directly, the process(es) be validated.

8.4.3 Identification and traceability

- **ISO 9001:2008 - 7.5.3**

Requirement that identification and traceability be applied as necessary.

8.4.4 Customer property

- **ISO 9001:2008 - 7.5.4**

Requirement for the customer's property, including data, be looked after.

8.4.5 Preservation of product

- **ISO 9001:2008 - 7.5.5**

Requirement to handle and care for the product to ensure that there is no deterioration such that product characteristics no longer meet customer expectations.

8.5 Control of monitoring and measuring equipment

- **ISO 9001:2008 - 7.6**
- **ISO 14001:2004 - 4.51**

Requirement that measuring equipment be selected to perform appropriately and to be maintained to continue to perform the measurement activities to the intended accuracy and precision.

8.6 Emergency preparedness and response

- **ISO 14001:2004 - 4.4.7**
- **OHSAS 18001:2007 - 4.4.7**

Requirement to plan for potential incidents and emergencies so that the response from the organisation can be timely and appropriate to ensure that the impact(s) can be eliminated or, at least, minimised.

9 MEASUREMENT AND ANALYSIS

- **ISO 9001:2008 - 8**
- **ISO 14001:2004 - 4.5**
- **OHSAS 18001:2007 - 4.6**

Requirement that the organisation use metrics to effectively manage the organisation by correcting errors and systematically acting to make the management system sufficiently robust through corrective action and improvement.

9.1 General

- **ISO 9001:2008 - 8.1, 8.2**
- **ISO 14001:2004 - 4.5.1**
- **OHSAS 18001:2007 - 4.5.1**

General requirement to monitor and measure the performance of the management system in achieving its obligations, product characteristics and stated objectives and targets.

9.2.1 Customer and stakeholder satisfaction

- **ISO 9001:2008 - 8.2.1**

Requirement to measure customer and stakeholder perception of the organisation and its products.

9.2.2 Internal audit

- **ISO 9001:2008 - 8.2.2**
- **ISO 14001:2004 - 4.5.5**
- **OHSAS 18001:2007 - 4.5.5**

Requirement to carry out effective internal audits to ensure compliance and effectiveness. Audits need to be effectively planned and results need to be brought to management attention for timely action as appropriate.

9.2.3 Monitoring and measurement of processes

- **ISO 9001:2008 - 8.2.3**

Requirement to monitor process characteristics

9.2.4 Monitoring and measurement of product

- **ISO 9001:2008 - 8.2.4**

Requirement to monitor product characteristics.

9.3 Control of nonconforming product

- **ISO 9001:2008 - 8.3**
- **ISO 14001:2004 - 4.5.3**
- **OHSAS 18001:2007 - 4.5.3.2**

Requirement to identify, contain and process non-conforming product as appropriate.

9.4 Analysis of data

- **ISO 9001:2008 - 8.4**
- **ISO 14001:2004 - 4.5.2**
- **OHSAS 18001:2007 - 4.5.2**

Requirement to gather and analyse data so that it can be used to improve understanding, ensure compliance and increase effectiveness.

9.5 Improvement

- **ISO 9001:2008 - 8.5**

Requirement to take actions to maintain the management system capabilities to address short-comings, to identify “near misses” and to improve effectiveness.

9.5.1 Continual improvement

- **ISO 9001:2008 - 8.5.1**

Requirement to identify potential improvement actions to better achieve targets and objectives.

9.5.2 Corrective action

- **ISO 9001:2008 - 8.5.2**
- **ISO 14001:2004 - 4.5.3**
- **OHSAS 18001:2007 - 4.5.3.2**

Requirement to have a corrective action system which addresses cause, correction and corrective action. Risk assessments to be updated as necessary.

9.5.3 Incident investigation

- **OHSAS 18001:2007 - 4.5.3.1**

Requirement to carry out incident investigations.

9.5.4 Preventive action

- **ISO 9001:2008 - 8.5.3**

Requirement to identify and manage preventive actions with additional requirements to up-date risk assessment as necessary.

10 MANAGEMENT REVIEW

- **ISO 9001:2008 - 5.6, 5.6.1, 5.6.2 and 5.6.3**
- **ISO 14001:2004 - 4.6**
- **OHSAS 18001:2007 - 4.6**

Requirement to hold a Management Review

Requirements for the minimum agenda for the Management Review

Requirement that the Management Review output address improvement and resources