A Program for Lead Auditor (Certifed by Exemplar Global)

IMS (ISO 9001:2015, ISO 14001:2015 & ISO 45001:2018) Lead Auditor Training

Training Material

OSHISIS Solution PLT

Course Outline

Module 1: Introduction: Integrated Management System and Understanding of IMS

- What is a management system?
- Definitions
- Integrated Management System
- Benefits of IMS (Integrated Management System)
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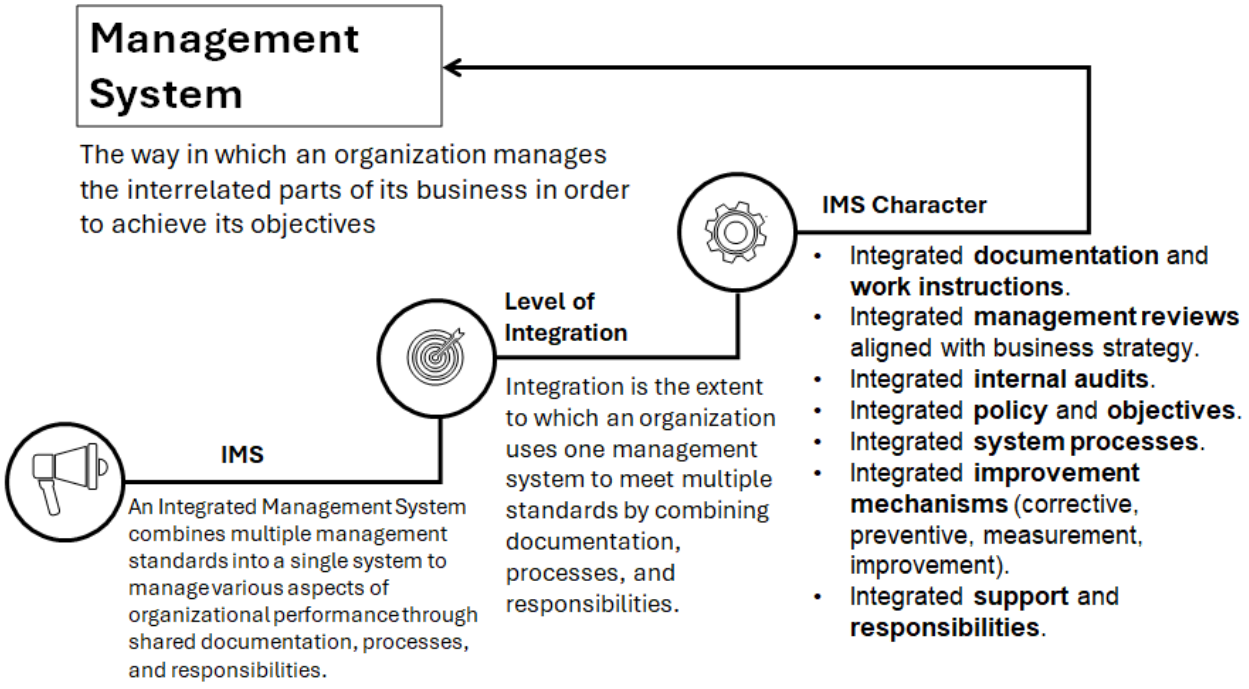
Module 1: Introduction: Integrated Management System and Understanding of IMS

What is a management system?

A management system is the way in which an organization manages the interrelated parts of its business in order to achieve its objectives. These objectives can relate to a number of different topics, including product or service quality, operational efficiency, environmental performance, health and safety in the workplace and many more.

The level of complexity of the system will depend on each organization's specific context. For some organizations, especially smaller ones, it may simply mean having strong leadership from the business owner, providing a clear definition of what is expected from each individual employee and how they contribute to the organization's overall objectives, without the need for extensive documentation. More complex businesses operating, for example, in highly regulated sectors, may need extensive documentation and controls in order to fulfil their legal obligations and meet their organizational objectives.

Source: https://www.iso.org/management-system-standards.html



Definitions

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

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 (1.3). 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.

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.).

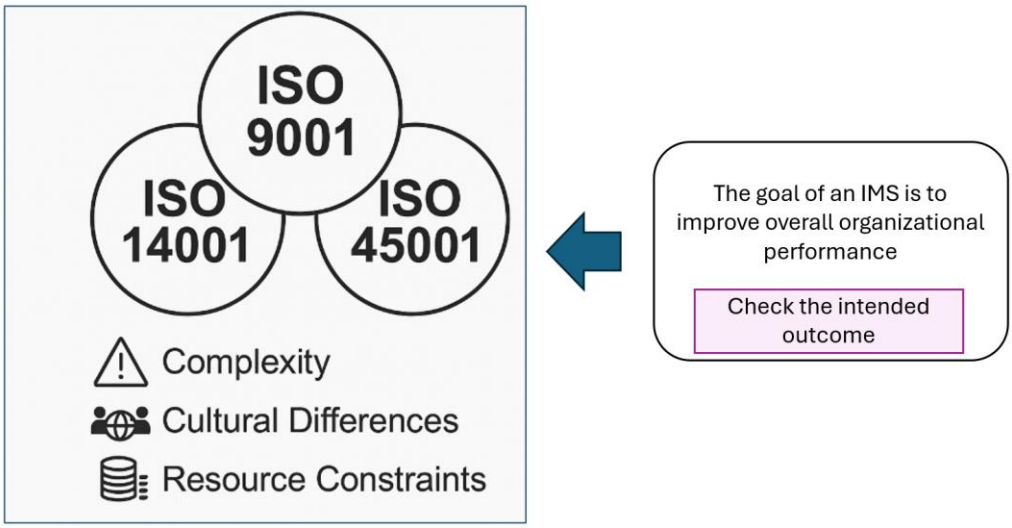
An Integrated Management System results when an organization uses one single management system to manage multiple aspects of organizational performance. It is characterized by (but not limited to):

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).
7) Integrated management support and responsibilities.

Source: IAF

Integrated Management System

A management system is a set of policies, processes, and procedures that an organization uses to achieve its goals. It's like a roadmap that guides the organization's activities.



Intended Outcome of the standards

ISO 9001:2015	To ensure organizations consistently provide products and services that meet customer and regulatory requirements, while enhancing customer satisfaction through effective system application and continual improvement.
ISO 14001:2015	To help organizations enhance their environmental performance, fulfill compliance obligations, and achieve environmental objectives, by implementing an effective environmental management system aligned with their environmental policy and considering a life cycle perspective.
ISO 45001:2018	To enable organizations to continually improve occupational health and safety performance, fulfill legal and other requirements, and achieve their OH&S objectives by effectively managing OH&S risks within their control.

Integrated Management System (IMS): A Synergistic Approach

Now, let's say you want to build not just one house, but a whole neighborhood. You'd need to manage quality, safety, environmental impact, and other factors. Instead of having separate plans and procedures for each, it's more efficient to integrate them into one comprehensive system.

An integrated management system (IMS) is a single system that combines multiple management systems into one. This integration reduces redundancy, improves efficiency, and provides a holistic view of the organization's performance.

Different Disciplines and Standards Families

Management systems can be applied to various disciplines, each with its own set of standards:

- **Quality Management:** Ensures products and services meet customer requirements.

    - **Standard:** ISO 9001
- **Environmental Management:** Minimizes the environmental impact of operations.
    - **Standard:** ISO 14001
- **Occupational Health and Safety Management:** Protects the health and safety of employees.
    - **Standard:** ISO 45001
- **Information Security Management:** Protects sensitive information.
    - **Standard:** ISO/IEC 27001

These are just a few examples. There are many other disciplines, such as food safety, energy management, and social responsibility, each with its own specific standards.

Type A and Type B Standards

- **Type A Standards:** These are generic management system standards, such as ISO 9001, ISO 14001, and ISO 45001. They provide a framework for establishing, implementing, maintaining, and continually improving a management system.
- **Type B Standards:** These are specific management system standards, such as ISO/IEC 27001 for information security and ISO 22000 for food safety. They provide detailed requirements for specific disciplines.

Limits to Integration

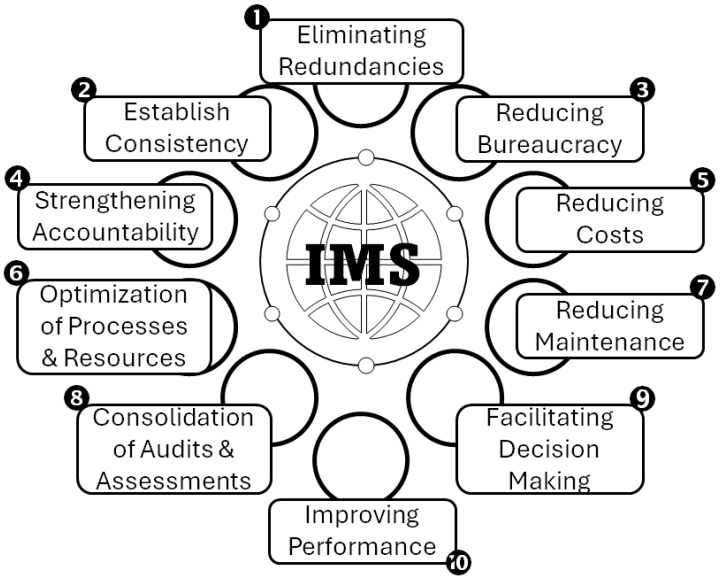
While integrating management systems offers numerous benefits, there are some limitations to consider:

- **Complexity:** Integrating multiple systems can increase complexity, especially for smaller organizations.
- **Cultural Differences:** If an organization operates in multiple countries, cultural differences can impact the integration process.
- **Resource Constraints:** Implementing and maintaining an IMS requires significant resources, including time, money, and personnel.

However, with careful planning and execution, these challenges can be overcome.

Remember, the goal of an IMS is to improve overall organizational performance. By integrating various management systems, organizations can achieve greater efficiency, reduce costs, and enhance their reputation.

Benefits of IMS (Integrated Management System)



1. Eliminating Redundancies

An integrated approach to implementing multiple management system standards can result in common or single management system components, i.e., policies and objectives, processes and resources. Examples include single procedures in areas such as training, document control, management reviews, internal audits and improvement. Although the management system standards requirements may have a common intent and meaning, they may be expressed in different words. If the organization's underlying approach is consistent in understanding the intent and comparing the requirements to its processes, the results can be a more effective and efficient management system. Relating new management system standards to those already implemented in the organization should avoid creating multiple documents or procedures or adding new resources.

2. Establish Consistency

Using an integrated approach facilitates the consistency of the management system. The system is now less complicated and is better understood by everyone in the organization. There is improved focus on achieving a common set of objectives that are important to the organization.

Consistency is reflected in:

- Communications of policy and direction
- Decision making
- Setting organizational priorities
- Measurement and monitoring

- Utilization of resources
- Implementing processes, procedures and practices

This approach provides a consistent framework for use at all levels, functions and locations of the organization.

3. Reducing Bureaucracy

The idea of reducing bureaucracy is closely related to eliminating redundancy. The proliferation of multiple MSSs can create a management dilemma for organizations attempting to streamline decision-making or reduce layers in the hierarchy. A systematic approach with processes that can accommodate or absorb any change or new requirements represents added value to the organization in reducing bureaucracy. Establishing process owners with cross-functional teams having assigned responsibility and accountability is an effective approach to breaking down barriers to decision making and deployment.

4. Strengthening Accountability

Another effect of integrating management system objectives, processes and resources can be improvement in accountability.

5. Reducing Costs

Reducing maintenance, consolidation of audits and assessments, as well as the optimization of processes and resources can contribute to reducing costs.

6. Optimization of Processes and Resources

Management system standard requirements do not have to be an added load to the organization, but rather can be a wheel to drive customer, interested parties and the organization's requirements smoothly and effectively into the organization's processes. Resources can be optimized because they are now focused on process implementation and adding value rather than additional system maintenance. Innovation is enhanced as the organization learns more about itself and compares its infrastructure to the requirements of the standards. Optimization is achieved where there is, for example, a common process for identification of requirements or management review instead of one for each standard, or usage of consolidated resources for training.

7. Reducing Maintenance

Maintenance refers to ensuring compliance and upholding the intent of management system standard requirements. Compliance with multiple standards needs to be maintained concurrently. An integrated approach streamlines the process, allowing an organization to focus its improvement efforts rather than maintaining multiple individual systems. This is particularly important in the maintenance of information systems. Another example is maintaining a single internal auditing procedure and as part of the integrated approach versus individual procedures for each standard.

8. Consolidation of Audits and Assessments

When there is an integrated management system as the foundation, the organization can consolidate internal audits and/or assessments. As a result, there is less work interruption and potentially less time needed for internal audits or assessments. Interrelationships among the processes are better understood and managed, which can lead to more in-depth audits or assessments. Separate management system audits or assessments drive a functional response to the findings and often those findings do not identify linkages between processes. With the integrated approach, management system audits and/or assessments place the linkages of processes as a high priority and often identify critical system failures.

9. Facilitating Decision Making

By eliminating redundancy and establishing consistency, the organization has a more complete view of the functional needs and performance of the business. This integrated approach enables the organization to break down functional and department barriers to improve communication and decision making.

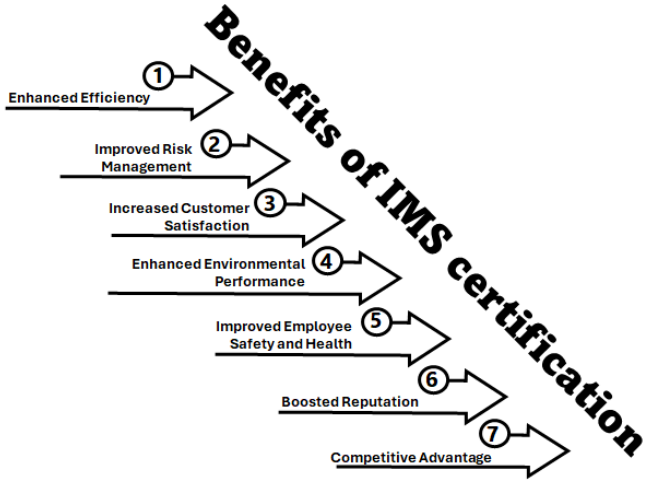
10. Improving Performance

Integrated use of management system standards can have a positive impact on specific management system components and outcomes, such as quality, safety, risk, and productivity.

Source: ISO Handbook: The Integrated Use of Management System Standards (IUMSS)

Understanding Integrated Management System (IMS) Certification

Why Consider IMS Certification?



An Integrated Management System (IMS) is a strategic tool that combines various management systems like Quality Management Systems (QMS), Environmental Management Systems (EMS), and Occupational Health and Safety Management Systems (OHSMS) into a unified framework. Certification of an IMS brings numerous benefits to an organization:

- **Enhanced Efficiency:** Reduces duplication of efforts and resources by streamlining processes and procedures.
- **Improved Risk Management:** Identifies and mitigates potential risks across various areas of the organization.
- **Increased Customer Satisfaction:** Focuses on delivering quality products and services that meet customer expectations.
- **Enhanced Environmental Performance:** Minimizes the organization's environmental impact.
- **Improved Employee Safety and Health:** Creates a safer and healthier workplace.
- **Boosted Reputation:** Demonstrates commitment to sustainability and ethical business practices.
- **Competitive Advantage:** Sets the organization apart from competitors.

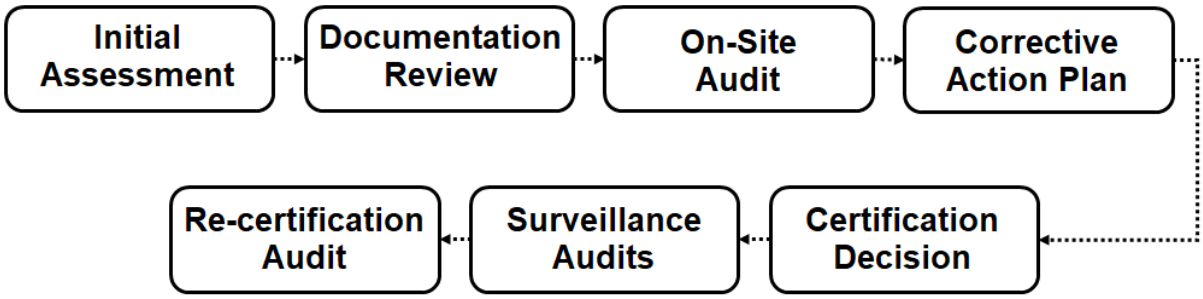
Considerations Before Certification

Before embarking on IMS certification, consider the following:

- **Management Commitment:** Strong leadership support is crucial for the successful implementation and maintenance of an IMS.

- **Organizational Maturity:** Assess the organization's readiness for certification, including its existing management systems and processes.
- **Resource Allocation:** Allocate sufficient resources, including budget and personnel, for the implementation and certification process.
- **Employee Training and Awareness:** Provide comprehensive training to employees on the IMS principles, procedures, and responsibilities.
- **Documentation and Record-Keeping:** Establish and maintain accurate and up-to-date documentation and records.
- **Internal Audits:** Conduct regular internal audits to identify areas for improvement and ensure compliance with the IMS standards.

The Certification Process



The typical process for IMS certification involves the following steps:

1. **Initial Assessment:** A certification body conducts an initial assessment to evaluate the organization's readiness for certification.
2. **Documentation Review:** The certification body reviews the organization's management system documentation, including policies, procedures, and work instructions.
3. **On-Site Audit:** Auditors from the certification body conduct an on-site audit to verify the implementation and effectiveness of the IMS.
4. **Corrective Action Plan:** The organization addresses any non-conformities identified during the audit and develops a corrective action plan.
5. **Certification Decision:** If the organization meets all the certification requirements, the certification body issues a certificate.
6. **Surveillance Audits:** Regular surveillance audits are conducted to monitor the ongoing compliance of the IMS.
7. **Re-certification Audit:** A re-certification audit is conducted every few years to ensure continued compliance with the standards.

Single Certification vs. Integrated Management System Certification

The decision to pursue single certification or IMS certification depends on various factors, including the organization's size, complexity, and strategic goals.

	Pros	Cons
Single Certification	Focuses on specific areas of management, such as quality, environment, or health and safety.	Can lead to duplication of efforts, increased administrative burden, and potential inconsistencies
Integrated Management System Certification	Streamline processes, reduces costs, and enhances overall performance	Can lead to duplication of efforts, increased administrative burden, and potential inconsistencies

Gaps and Considerations:

- **Organizational Culture:** A strong organizational culture that values continuous improvement and employee involvement is essential for successful IMS implementation.
- **Resource Constraints:** Limited resources can hinder the effective implementation and maintenance of an IMS.
- **Complexity of Standards:** Understanding and implementing multiple standards can be challenging.
- **Resistance to Change:** Overcoming resistance to change and building employee buy-in is crucial.

By carefully considering these factors and following a well-planned approach, organizations can successfully implement and certify their IMS, reaping the benefits of enhanced efficiency, risk management, and overall performance.

Establishment of Integrated Management System

An integrated management system (IMS) is a unified framework that combines multiple management systems, such as quality, environmental, and occupational health and safety management, into a single, cohesive system. By integrating these systems, organizations can streamline processes, reduce redundancies, and improve overall efficiency.

Implementing an IMS involves several key steps:

1. **Top Management Commitment:** Strong leadership support is crucial for a successful IMS implementation. Top management must be actively involved in setting objectives, allocating resources, and promoting the IMS throughout the organization.
2. **Gap Analysis:** Identify the current state of the organization's management systems and compare them to the requirements of the relevant standards (e.g., ISO 9001, ISO 14001, ISO 45001). This helps determine the areas where improvements are needed.

3. **Documentation Development:** Create and implement a comprehensive set of documented procedures, work instructions, and records that align with the IMS requirements.
4. **Training and Awareness:** Provide training to all employees on the IMS, its benefits, and their roles and responsibilities within the system.
5. **Implementation and Integration:** Integrate the various management systems into a unified framework, ensuring consistency and coherence.
6. **Internal Audits:** Conduct regular internal audits to assess the effectiveness of the IMS and identify areas for improvement.
7. **Management Review:** Top management should periodically review the IMS to ensure its continued suitability, adequacy, and effectiveness.

The main requirements of ISO 9001, ISO 14001, and ISO 45001 include:

- **ISO 9001 (Quality Management):** Focuses on customer satisfaction, process improvement, and product conformity.
- **ISO 14001 (Environmental Management):** Emphasizes environmental protection, pollution prevention, and resource efficiency.
- **ISO 45001 (Occupational Health and Safety Management):** Aims to prevent work-related injuries and illnesses, promote a safe and healthy working environment.

An audit of an integrated management system is a systematic and independent examination to determine whether the IMS conforms to the requirements of the relevant standards and the organization's own policies and procedures. Audits typically involve:

- **Document Review:** Examining the IMS documentation to verify its completeness, accuracy, and adherence to the standards.
- **Process Audits:** Assessing the effectiveness of processes and procedures in achieving the organization's objectives.
- **Record Review:** Checking records to ensure that they are accurate, complete, and up-to-date.
- **Interviews:** Conducting interviews with employees to gather information and assess their understanding of the IMS.
- **Observation:** Observing workplace activities to verify compliance with the IMS requirements.

By successfully implementing and maintaining an IMS, organizations can enhance their overall performance, reduce risks, and demonstrate their commitment to quality, environmental protection, and occupational health and safety.

The High-Level Structure (HLS) of ISO Management System Standards

Imagine the HLS as a blueprint for building a robust management system. It provides a common framework for all ISO management system standards, making them easier to understand, implement, and integrate.

Key Benefits of the HLS:

- **Consistency:** All standards share a similar structure, making it easier to navigate and understand.
- **Efficiency:** By using a common approach, organizations can streamline their management systems and reduce duplication of effort.
- **Integration:** Different management systems can be more easily integrated, leading to a more cohesive and effective overall system.

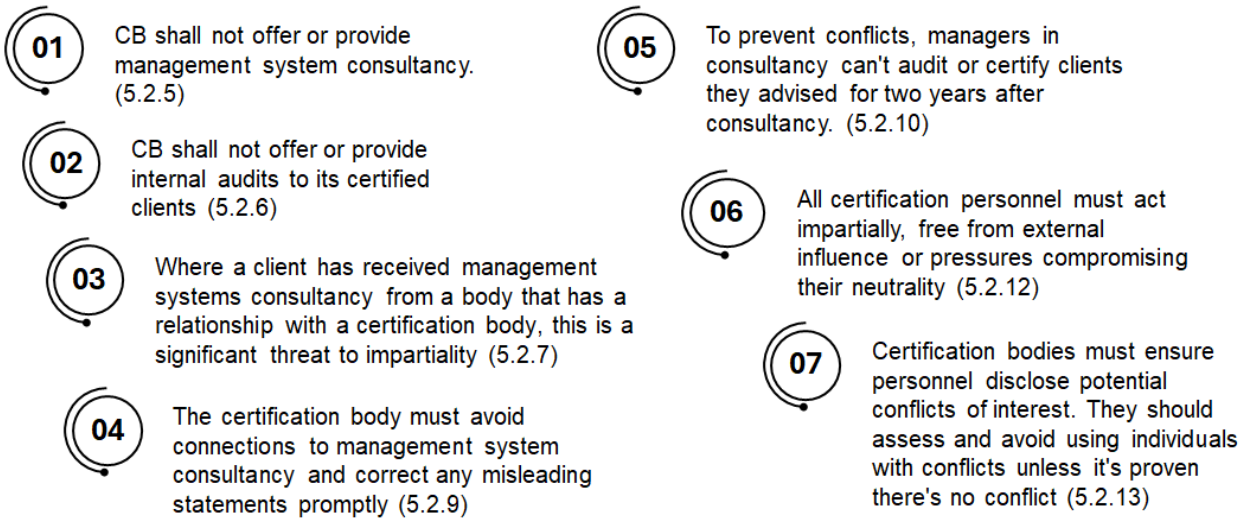
Core Structure of the HLS

The HLS is divided into 10 clauses, each focusing on a specific aspect of management system implementation:

1. **Scope:** Defines the standard's applicability and its intended users.
2. **Normative References:** Lists any other standards or documents that are essential for understanding and applying the standard.
3. **Terms and Definitions:** Provides clear definitions of key terms used throughout the standard.
4. **Context of the Organization:** Requires organizations to identify internal and external issues that may affect their ability to achieve their objectives.
5. **Leadership:** Outlines the responsibilities of top management in establishing and maintaining the management system.
6. **Planning:** Requires organizations to plan how they will achieve their objectives, including identifying risks and opportunities.
7. **Support:** Addresses the resources, infrastructure, and environment needed to implement the management system.
8. **Operation:** Covers the processes required to deliver products or services.
9. **Performance Evaluation:** Specifies how organizations should monitor, measure, analyze, and evaluate their performance.
10. **Improvement:** Outlines the requirements for continual improvement of the management system.

Module 2: Auditor Governance and Impartiality in Certification Bodies

Management of Impartiality



1 Why impartiality matters

- The entire value of third-party certification rests on **confidence that audit decisions are objective and free from bias**. If impartiality is lost—or even *perceived* to be lost—stakeholders will distrust the certificate, undermining its market and regulatory credibility.

2 Foundational rule

- **"Conformity-assessment activities shall be undertaken impartially."** Certification bodies (CBs) therefore bear **full responsibility** for protecting impartiality and must not allow commercial, financial, or other pressures to influence audit results. §5.2.1 osh-isis.com

3 Top-management commitment

- CB top management must establish and publicise a **policy that:**
    1. Recognises the importance of impartiality.
    2. **Manages conflicts of interest.**
    3. Ensures the **objectivity** of certification activities. §5.2.2 osh-isis.com

4 Risk-based approach to conflicts of interest

1. **Identify & analyse** risks (ownership links, shared resources, sales commissions, etc.).

2. **Evaluate & treat**: document how each threat is eliminated or reduced; record residual risk.
3. **Monitor** continuously—residual risk must stay within top-management-approved tolerance.
4. **Consult** an impartiality committee (balanced interested parties) on significant threats. Clause 5.2.3 & Note 1/2/3

5 Unacceptable relationships (automatic prohibition)

Scenario	Why it's banned	Clause
CB certifies another CB's QMS	Self-interest threat	5.2.4
CB offers management-system consultancy	Consultancy threatens independence	5.2.5
CB conducts internal audits for its own certified clients	Self-review threat	5.2.6
Client received consultancy from a *related* body	Familiarity & self-interest	5.2.7
CB outsources audits to a consultancy firm	Consultancy influence	5.2.8

Mitigation: A two-year "cooling-off" period is recognized in Section 5.2.6 & 5.2.7.

6 Marketing & commercial conduct

- CBs must **not market their services** as linked to any consultancy or imply certification will be *easier, faster, cheaper* if a particular consultant is used. Any misleading public statement must be corrected immediately. Clause 5.2.9

7 Personnel rotation & cooling-off rules

- **Consultants-turned-auditors**: anyone (including managers) who provided consultancy to a client **within the past two years** cannot participate in audits or certification decisions for that client. Clause 5.2.10

8 Whole-of-organisation vigilance

- The CB must act on **any external threat** to impartiality—e.g., a client offering inducements, or media allegations of bias. Clause 5.2.11
- **All personnel and committees** who might influence audits must behave impartially and withstand commercial or other pressures. Clause 5.2.12

9 Mandatory conflict-of-interest disclosure

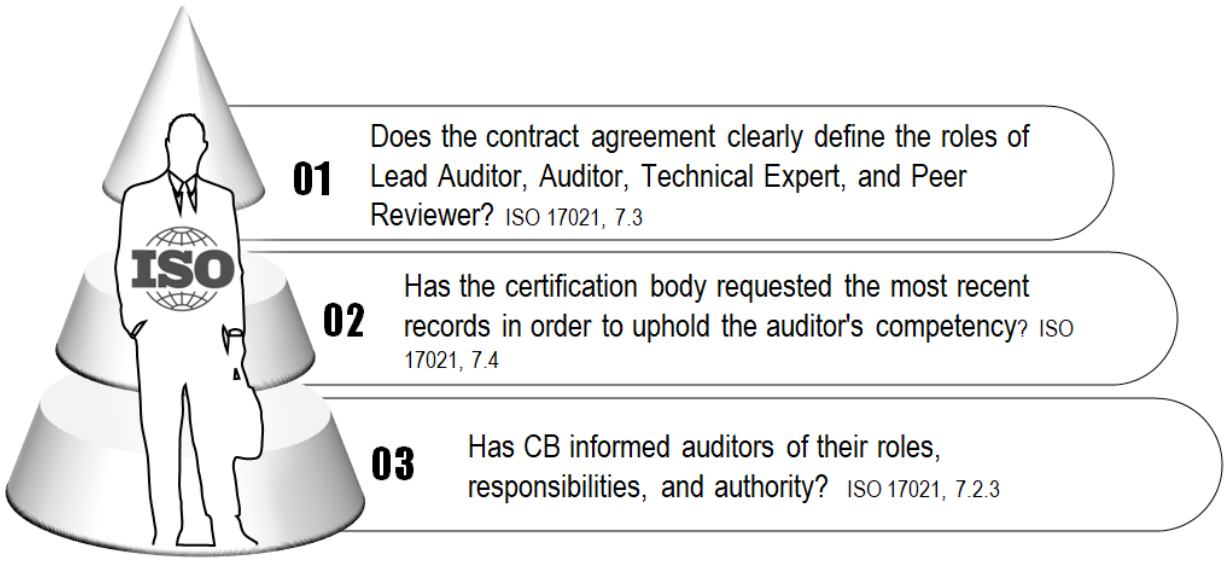
- Internal and external personnel are required to **declare any situation that could present a conflict**. The CB records this information and must show evidence that it was reviewed *before* assigning individuals to audit teams or decision committees. If a conflict cannot be neutralised, that person is **not used**. Clause 5.2.13

10 Key take-aways for Lead Auditors

1. **Impartiality is a principle and a requirement**—both mindset and documented process.
2. **Threat recognition** is everyone's duty; silence ≠ impartiality.
3. **Two-year rule** is the standard mitigation where consultancy or internal audit links exist.
4. **Marketing claims** can destroy impartiality as quickly as audit practice.
5. As Lead Auditors, you are the *gatekeepers*: challenge conflicts, document decisions, and never compromise the objectivity that underpins certification trust.

Role Clarity, Competency Evaluation & Authority in Auditor Management

Ensuring Role Clarity and Competence in ISO Audit Practice



Applicable Standard: ISO/IEC 17021-1:2015
Target Audience: Lead Auditor Trainees (IMS: ISO 9001, ISO 14001, ISO 45001)
Objective: To ensure that future Lead Auditors understand the critical requirements concerning

auditor role assignments, competency validation, and the communication of responsibilities, authority, and impartiality in third-party certification activities.

1. Contractual Definition of Auditor Roles

(Reference: ISO/IEC 17021-1:2015, Clause 7.3)

One of the most fundamental responsibilities of a Certification Body (CB) is to ensure that all members involved in an audit — including the Lead Auditor, Auditor, Technical Expert, and Peer Reviewer — have clearly defined roles. These definitions must be formalized in **documented agreements or contracts** between the CB and the audit personnel.

The role of the **Lead Auditor** typically involves overall audit planning, team leadership, opening and closing meetings, managing the execution of audit tasks, and ensuring the integrity and consistency of the audit process. The **Auditor** functions under the supervision of the lead, gathering evidence and evaluating conformance to the standard. The **Technical Expert** supports the audit team by offering specialized knowledge relevant to the scope of certification (e.g., electrical safety, food microbiology), but does not participate in conformity assessment or decision-making. A **Peer Reviewer**, meanwhile, is responsible for reviewing the audit report for accuracy, completeness, and impartiality — often as part of internal quality controls within the CB.

As emphasized in the OSH-ISIS Auditing Guideline Clause 7.3, contracts or assignment letters should specifically list:

- The scope of each person's responsibility.
- The scope and limitation of authority.
- The expected deliverables and deadlines.
- Conflict of interest declarations, if applicable.

By clarifying these roles upfront, the CB reduces confusion, enhances accountability, and supports compliance with accreditation requirements under ISO/IEC 17021-1.

2. Verification of Auditor Competency Using Up-to-Date Records

(Reference: ISO/IEC 17021-1:2015, Clause 7.4)

Auditor competency is not a one-time evaluation, but an **ongoing requirement**. Certification Bodies are mandated to assess and confirm that their auditors remain competent for every assigned task, especially when changes in standard revisions, industrial sectors, or audit complexity occur. This is done by evaluating **the most recent records** related to the auditor's:

- Formal qualifications and certifications
- Audit log and practical experience

- Training attendance (including CPD)
- Witnessed audits and performance appraisals

As elaborated in ISO/IEC 17021-1:2015, Clause 7.4, the CB is responsible for maintaining a documented system that allows internal or external auditors to periodically update their records. These updates must be reviewed prior to every audit team selection to ensure the auditor is suitable for the specific **EAC code (Business Sector)** of the client organization.

- For example, an auditor who is competent in ISO 45001 within the manufacturing sector (EAC 17) may not automatically be approved to audit ISO 45001 in the chemical industry (EAC 12) without relevant experience or training.

In practical terms, this clause obliges CBs to treat auditor assignments with the same scrutiny as technical product certifications — ensuring traceability, suitability, and impartiality.

3. Communication of Roles, Responsibilities and Authority

(Reference: ISO/IEC 17021-1:2015, Clause 7.2.3)

Beyond contractual assignment, the Certification Body has an obligation to **formally communicate** each auditor's specific duties, expected outcomes, and the scope of their authority prior to the audit. This includes:

- Clearly informing the auditor whether they will lead or support the audit.
- Clarifying which parts of the audit report they will be responsible for.
- Specifying limits, such as whether they can interact with client top management, conduct interviews alone, or participate in closing meetings.
- Defining which decisions (e.g., conformity conclusions, recommendations) they are authorized to make or contribute to.

According to ISO/IEC 17021-1:2015 Clause 7.2.3, all communication must be documented — either via audit team briefs, email confirmations, or assignment letters. It is also recommended that this communication be tailored to the specific audit context, as roles and authority may differ depending on audit type (e.g., Stage 1 vs Stage 2, Surveillance vs Re-certification).

This clause is particularly critical in maintaining **audit impartiality and control**, as inappropriate delegation of decision-making or insufficient authority can compromise audit outcomes or breach accreditation rules.

4. Underpinning Requirement: Impartiality

(Reference: ISO/IEC 17021-1:2015, Clause 5.2)

The above responsibilities cannot be fulfilled unless the Certification Body — and its auditors — operate under strict **impartiality**. Impartiality is defined as the presence of objectivity and the absence of conflict of interest. Clause 5.2 of ISO 17021-1 makes it clear that the CB must identify, analyze, and manage all potential risks to impartiality.

From the auditor's perspective, this means:

- Disclosing any past consultancy or employment with the auditee (typically within the last 2 years).
- Avoiding audits where personal interest, bias, or familiarity may affect professional judgment.
- Ensuring that personal or financial incentives do not influence audit reporting or recommendations.

The **peer review process**, combined with role clarity and documented records, functions as a protective framework to uphold this impartiality.

Conclusion

The integrity of the third-party certification process under ISO standards relies heavily on how the certification body manages its auditors. Ensuring clarity of roles, verifying auditor competency with recent evidence, and transparently communicating authority are not optional practices — they are fundamental requirements of ISO/IEC 17021-1. These mechanisms collectively protect audit impartiality, improve stakeholder confidence, and safeguard the credibility of the certification process.

For Lead Auditors, understanding and applying these principles is not only a requirement for certification but a professional responsibility essential to maintaining trust, compliance, and the value of ISO management systems.

Auditor Competence – Knowledge, Skills, and Attributes for Effective IMS Auditing

To effectively fulfill their roles, lead auditors must possess a comprehensive set of knowledge and skills as outlined in ISO 19011:2018. This standard provides guidance on auditing management systems, emphasizing the competence requirements for auditors. Below is an extensive overview of the essential knowledge and skills required for lead auditors:

1. Personal Attributes

Lead auditors should exhibit personal behaviors that enable them to act ethically and professionally:

a) **Ethical**, i.e. fair, truthful, sincere, honest and discreet;

b) **Open-minded**, i.e. willing to consider alternative ideas or points of view;

c) **Diplomatic**, i.e. tactful in dealing with people;

d) **Collaborative**, i.e. effectively interacting with others;

e) **Observant**, i.e. actively aware of physical surroundings and activities;

f) **Perceptive**, i.e. instinctively aware of and able to understand situations;

g) **Versatile**, i.e. adjusts readily to different situations;

h) **Tenacious**, i.e. persistent and focused on achieving objectives;

i) **Decisive**, i.e. reaches timely conclusions based on logical reasoning and analysis;

j) **Self-reliant**, i.e. acts and functions independently;

k) **Professional**, i.e. exhibiting a courteous, conscientious and generally business-like demeanor in the workplace;

l) **Morally courageous**, i.e. willing to act responsibly and ethically even though these actions may not always be popular and may sometimes result in disagreement or confrontation;

m) **Organized**, i.e. exhibiting effective time management, prioritization, planning, and efficiency..

2. Knowledge and Skills

a. Knowledge of Business Management Practices:

Understanding general organizational types, governance, structures, workplace practices, information and data systems, documentation systems, and information technology.

b. Audit Principles, Procedures, and Techniques

Lead auditors should have a thorough understanding of audit principles and be proficient in applying audit procedures and techniques, including:

- **Audit Planning**: Developing audit plans that align with audit objectives.
- **Audit Execution**: Conducting audits systematically, including collecting and verifying information.
- **Audit Reporting**: Preparing clear and concise audit reports.
- **Follow-up Activities**: Monitoring the implementation of audit recommendations.

c. Management System Standards and Reference Documents

Comprehension of the management system standard or other normative documents specified for certification, sufficient to determine effective implementation and conformity about the specific management system standards relevant to the audit, such as:

- **ISO 9001**: Quality Management Systems.
- **ISO 14001**: Environmental Management Systems.
- **ISO 45001**: Occupational Health and Safety Management Systems.
- **ISO/IEC 27001**: Information Security Management Systems.

They should also be familiar with applicable legal and regulatory requirements.

d. Knowledge of Certification Body's Processes:

To effectively fulfill their role, a management system auditor must do more than understand the ISO standard being audited (e.g., ISO 9001, ISO 14001, ISO 45001); they must also have a working knowledge of how their certification body (CB) operates.

This includes understanding the full certification process and procedures, from initial client engagement to audit planning, execution, reporting, and decision-making. Each certification body has documented procedures aligned with ISO/IEC 17021-1 and other applicable IAF/ISO documents. Auditors must be competent in applying these procedures consistently.

e. Knowledge of Client's Business Sector:

Understanding the client's business sector enables auditors to:

- Accurately interpret how sector-specific processes align with management system requirements.
- Identify sector-related risks and opportunities that may impact the effectiveness of the management system.
- Assess compliance with applicable legal and regulatory requirements pertinent to the sector.
- Evaluate the adequacy of sector-specific controls and performance metrics.

IAF Requirements and Guidance

IAF ID 1:2023 – Informative Document for QMS and EMS Scopes of Accreditation

IAF ID 1:2023 provides guidance on defining scopes of accreditation for Quality Management Systems (QMS) and Environmental Management Systems (EMS). It underscores the necessity for auditors to have competence in the specific industry sectors they audit, ensuring they can effectively assess sector-specific processes and environmental aspects.

IAF MD 22:2023 – Application of ISO/IEC 17021-1 for OH&SMS Certification

IAF MD 22:2023 emphasizes that certification bodies must ensure auditors have sector-specific knowledge relevant to the scope of the Occupational Health and Safety Management System (OH&SMS) being audited. This includes understanding industry-specific hazards, risk controls, and legal requirements..

f. Knowledge of Client Products, Processes, and Organization:

Insight into the types of products or processes of a client to understand organizational operations and application of management system requirements.

- Understand the organization's core products and services, processes needed and their interactions, and how they are delivered or produced.
- Identify the key internal and external issues that influence the organization's ability to consistently deliver intended results.

- Recognize the interested parties relevant to the organization and how their expectations affect product and process requirements.
- Interpret how the organization determines and applies the scope of its QMS in relation to its product lines and operational boundaries.
- Be familiar with the complete process flow—from customer requirements, design and development (if applicable), procurement, production/service delivery, to final release.
- Assess how risks and opportunities related to products and processes are identified and planned for within the management system.
- Evaluate how the organization's quality objectives are linked to its products, services, and operational performance.
- Understand how product specifications, technical requirements, and performance indicators are managed within the QMS.
- Analyze how controls are applied to ensure conformity of products and services during production, service delivery, and after-sales processes.
- Evaluate the handling of outsourced processes and supplier controls related to product and service realization.
- Examine how nonconforming outputs are managed, including criteria for product release and corrective action.
- Understand the organization's structure, resources, and responsibilities that support the consistent application of QMS requirements to its products and operations.
- Apply a process-based audit approach that connects documented procedures and QMS controls directly to the actual production or service provision.

g. Organizational Context

Understanding the auditee's organizational context is crucial, including:

- **Organizational Structure and Processes**: Comprehending how the organization operates.
- **Business Environment**: Recognizing external factors that affect the organization.
- **Risk Management**: Identifying and assessing risks relevant to the audit.

h. Applicable Laws, Regulations, and Other Requirements

Lead auditors should be aware of and understand the legal and regulatory frameworks applicable to the auditee's operations, ensuring audits consider compliance obligations.

i. Customer Requirements

Recognizing and evaluating how the organization meets customer requirements is essential, particularly in quality management system audits.

3. Skills

a. Interpersonal Skills

Effective communication and interpersonal skills are vital for lead auditors to:

- **Conduct Interviews**: Engaging with auditees to gather information.
- **Facilitate Meetings**: Leading opening and closing meetings effectively.
- **Resolve Conflicts**: Addressing and managing disagreements constructively.

b. Analytical Skills

Lead auditors should be capable of:

- **Data Analysis**: Interpreting and evaluating information accurately.
- **Problem-Solving**: Identifying issues and determining root causes.
- **Decision-Making**: Making informed judgments based on audit evidence.

c. Leadership Skills

As leaders of audit teams, they must:

- **Manage Teams**: Coordinating and guiding audit team members.
- **Delegate Tasks**: Assigning responsibilities effectively.
- **Ensure Objectivity**: Maintaining impartiality throughout the audit process.

d. Language Skills Appropriate to All Levels Within the Client Organization:

Ability to communicate effectively with individuals at any organizational level using appropriate terms and expressions.

e. Notetaking and Report-writing Skills:

Capability to read and write with sufficient speed and accuracy to record notes and effectively communicate audit findings and conclusions.

f. Presentation Skills:

Ability to present audit findings and conclusions clearly and understandably, including public presentations during meetings.

g. Interviewing Skills:

Proficiency in obtaining relevant information through open-ended, well-formulated questions and active listening.

h. Audit-management Skills:

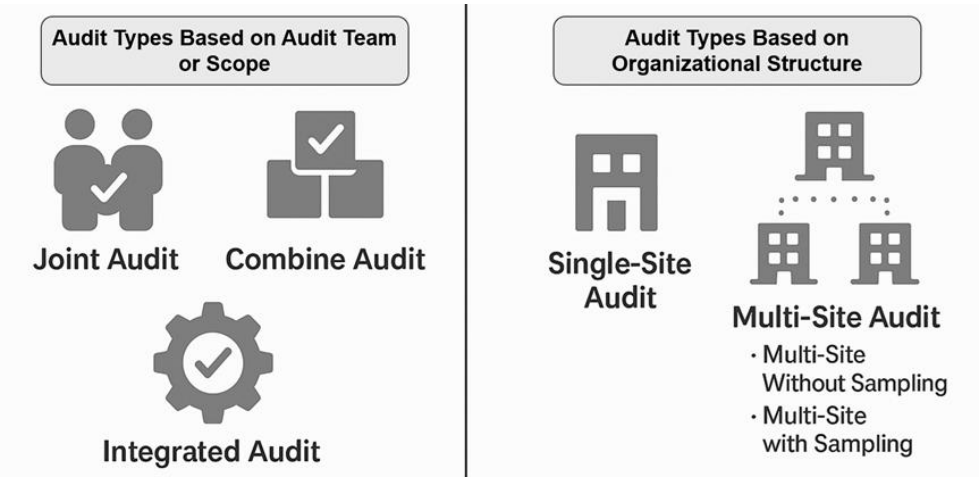
Competence in conducting and managing audits to achieve objectives within agreed timeframes, including facilitating meetings and assigning tasks as necessary.

4. Competence Evaluation and Maintenance

Organizations should establish processes to evaluate and maintain auditor competence, including:

- **Initial Evaluation**: Assessing knowledge, skills, and personal attributes before assigning audit responsibilities.
- **Ongoing Monitoring**: Regularly reviewing auditor performance and providing feedback.
- **Continual Professional Development**: Encouraging auditors to engage in ongoing learning to keep skills and knowledge up to date.

Audit Models for ISO Certification: Team-Based vs Site-Based Structures



Audit Types Based on Audit Team or Scope

1. Joint Audit

Definition:
An audit conducted by **two or more certification/auditing bodies** on a **single auditee**.

Characteristics:

- Common when a client is subject to certification by multiple CBs.
- Each auditing organization assigns its own auditors.
- May be due to cross-border certifications or accreditation requirements.

Example:
A Malaysian site is certified by both a local CB and an international CB (e.g. DQS and TÜV SÜD) for different markets. They conduct the audit jointly to save time and ensure consistency.

Benefits:

- Reduces duplication
- Harmonizes results from multiple CBs

- Better coordination in international or regulatory contexts

2. Combine Audit

Definition:
An audit where **two or more management systems** are audited together at the **same time**, but with **individual outputs** (i.e. reports and certificates).

Characteristics:

- Systems are not fully integrated.
- Audit is conducted simultaneously, reducing audit burden.
- Results are documented separately.

Example:
A plantation is audited for ISO 9001 and ISO 45001 at the same time, but gets **two separate reports** and **two certificates**.

Benefits:

- Saves time and cost
- Allows partial integration of systems
- Flexibility in certification timelines

Limitation:

- Duplication in documentation and audit findings
- No synergies between systems beyond scheduling

3. Integrated Audit

Definition:
An audit of a **fully integrated management system** covering multiple ISO standards, resulting in **one report** and **one certificate**.

Characteristics:

- One management system aligned to multiple standards.
- Audit planning, execution, findings, and reporting are **fully integrated**.
- Integrated audit team reviews common and standard-specific requirements in a unified way.

Example:
An organization integrates ISO 9001, ISO 14001, and ISO 45001 into a single management system and undergoes an integrated audit covering all requirements in one go.

Benefits:

- Unified system improves consistency and efficiency
- Single point of control
- Reduces redundancies in processes and documentation

Limitation:

- Requires strong internal alignment of processes and documentation
- Audit complexity increases, requiring multi-skilled auditors

Audit Types Based on Organizational Structure

4. Single-Site Audit

Definition:
An audit performed on an organization operating from a **single location**, where **all processes** are implemented.

Characteristics:

- All departments and processes under one physical or virtual roof.
- Simpler audit scope and planning.
- Often seen in SMEs or local companies.

Example:
A logistics company operating only from a central warehouse in Selangor is audited for ISO 9001.

Benefits:

- Easier audit planning
- Direct engagement with all functions
- Lower complexity

Limitation:

- May not reflect scalability or diversified operations

5. Multi-Site Audit

Definition:
An audit of a **multi-site organization** under a **single management system**, coordinated by a **central function**, with **multiple permanent/temporary/virtual sites**.

Multi-Site Without Sampling

All sites are audited.
Used when:

- Sites perform different processes
- Sector or regulatory requirement exists
- Client requests it

Example:
A manufacturing group has different factories (e.g. electronics, plastics, metalwork), each with unique processes.

Benefit: Full visibility
Limitation: Higher cost and effort

Multi-Site with Sampling

Selected sites are audited based on similarity and sampling logic (as per ISO/IAF guidance).

Conditions:

- All sites operate under **one management system**.
- Sites perform **similar activities** (e.g. same SOP, same risk profile).
- **Central function** must manage the whole system.

Sampling Calculation:
Uses √n formula or per DQS table (e.g., 9 sites = audit 3)

Example:
Retail chain with 25 stores across Malaysia; 5 sampled annually, central HQ audited every year.

Benefits:

- Efficient
- Representative of the system
- Lower audit cost

Limitation:

- Not allowed in IATF 16949, AS9100, etc.
- Not suitable if site variability is high

Additional Multi-Site Variants (from uploaded CP30 document):

Type	Description

Extended Site	E.g., warehouse or lab nearby to main site, not performing core processes. Treated as part of parent site.
Campus Site	Multiple units on same premises with different addresses. Can be grouped as one site.
Virtual Site	Fully online operation (e.g., design company in cloud environment). Treated as a single virtual site.
Unmanned Site	Not permanently occupied (e.g., satellite monitoring station). Tied to parent site for audit purposes.
Temporary Site	E.g., construction site for a limited time. Audited if significant to scope.

Summary Comparison Table

Audit Type	Auditing Entities	Management System	Sites Covered	Report/Certificate
Joint Audit	Multiple CBs	One or more	One auditee	Separate reports or joint
Combine Audit	One CB	Separate systems	One location	Separate reports/certs
Integrated Audit	One CB	Integrated system	One or more sites	One report/certificate
Single-Site	One CB	One system	One location	One report/certificate
Multi-Site	One CB	One system with CF	Multiple sites	One certificate + annex