



EQMS Integrated Management System Guidance

ISO 9001:2015 & ISO 14001:2015



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1 Introduction

The purpose of this document is to outline a potential integrated management system to meet the requirements of ISO 9001:2015 and ISO 14001:2015. The integrated management system is designed to be implemented to function within current business practices and serves as an effective tool to help your business grow and improve.

The application of the integrated management system is scalable and generic; regardless of the size and type of organization. The elements that form a typical the EQMS are the same; please refer to the figure below. The

Typical Elements of an Integrated Management System using PDCA



primary goal is to achieve a set of consistent processes that provide a route for enhancing customer satisfaction, mitigation uncertainty and providing meaningful data for continuous improvement activities.

You may decide to keep your current quality and environmental management systems and simply amend them where necessary. Some of you may take this as an opportunity for a complete revamp of the management system. Both courses of action are entirely reasonable, and this guidance document will guide you through what the essential elements that you need to address in order become certified.

The integrated management system includes the processes and procedures required to achieve compliance to quality and environmental requirements, as well as, highlight their interaction with other support processes. Top management must take responsibility for leadership, commitment and take active involvement for developing and maintaining the management system. It is necessary to have well defined processes, both operational and support, to be able to realize the product or service. Customer satisfaction has to be measured and analyzed so that the organization can be improved continually.

The implementation of a formal management system is best handled as a specific project that is led by someone with project management experience. Ideally, they should be a key member of the organization's management team and have sufficient authority and trust of the personnel involved. In the ideal situation this person will also be the Management Representative, but skills in project management are highly beneficial.

Integration itself is not difficult to implement but rather, the concepts themselves are sometimes difficult to interpret and can therefore be difficult to apply in the real world. For instance, concepts such as non-conformances, hazards, impacts and corrective action systems might seem burdensome at first but the outputs of these concepts will soon be an invaluable source of information that should be used to drive your corporate objectives. In order implement the integrated management system, we recommend that you follow the steps in this guidance documents.

1.1 Implementation & Development

Begin with the assumption that you are already doing most of what ISO requires, you probably are! Many people talk about the high cost of implementing management systems but this is a false assumption. If you do it right and understand the standards, then implementation should not be a problem since 75% of your management system is already in place. Here are some initial review tasks to consider:

1. Identify legal and regulatory compliance requirements related to EQMS performance;
2. Compare actual performance with external standards, regulations, codes of practice and guidelines;
3. Identify activities, products, services that cause impacts on the environment and/or pose legal risks;
4. Review existing management procedures;
5. Compare actual operations with internal policies and procedures;
6. Identify policies and procedures dealing with external contracts for services and suppliers;
7. Review investigations of previous EH&S incidents, accidents and 'near misses';
8. Gather the views of internal and external interested parties;
9. Assess if/how other internal systems can help or interfere with EQMS performance;
10. Do a gap analysis comparing what is in place with what ISO 9001 & 14001 require;
11. Consider 'benchmarking' with other organizations' EQMS.

By implementing a management system like the one detailed in this document, your organization will have the necessary foundation to enact a culture change. It is expected that the culture shift will start during the early development and implementation phase, and by getting involvement and consultation from the employees at

4 About Your Organization

4.1 Organizational Context

You should allow additional time to establish a suitable understanding of the circumstances, and the market in which your organization operates. To be compliant, evidence should be obtained that demonstrates that your organization is reviewing all pertinent internal and external issues at periodic intervals.

To assess whether your organisation has a high-level, conceptual understanding of its internal and external issues that affect it, either positively or negatively, its ability to achieve the intended outcomes, you should describe the processes used by your organization to identify internal and external issues and make reference to all objective evidence, including examples of these issues. Examples of organizational issues might include:

1. Quality and environmental conditions capable of affecting or being affected by the organization;
2. External: cultural, social, political, regulatory, financial, economic, natural and competitive issues, whether international, national, regional or local;
3. Internal: organization's activities, products, services, strategic direction and capabilities (people, knowledge, processes, systems).

You will need to determine and understand the various quality and environmental conditions, internal and external issues, typically experienced in your type of organization that can have positive or negative impacts.

The standards do not specify that these internal and external issues, or their monitoring and review, be documented, so there might not be 'lists of issues' or records of reviews. However, information can be obtained via interviews with relevant Top management in relation to your organization's context and its strategic direction, the identified issues and conditions, and how these may affect the intended outcomes of the Management System.

Collate evidence to provide assurance that your organization is regularly, or as necessary, reviewing and updating its external and internal issues. Although there is no requirement for documented information to define the context of the organization, your organization will find it helpful to retain the types of documented information listed below to help demonstrate compliance:

1. Business plans and strategy reviews;
2. Competitor analysis;
3. Economic reports from business sectors or consultant's reports;
4. SWOT analysis for internal issues;
5. PESTLE analysis for external issues;
6. List of external and internal EQMS issues and conditions.
7. EQMS action plans and objectives;
8. Annual reports;
9. Minutes of meetings (Management review and, e.g. design review minutes);
10. Process maps, tables, spreadsheets, mind mapping diagrams.

Reviewing your organization's context could include interviews with senior management, questionnaires, surveys and research. Cross-functional input is essential for the specific expertise required to identify the full breadth of issues, such as finance, training, human resources, commercial, engineering and design, etc. Not

only will this ensure a broader appreciation of the context but also wider engagement, particularly with those functions not previously involved with the EQMS.

A workshop approach often allows ideas to be shared and provides an effective and efficient way of achieving a valuable outcome. The workshop could simply be a discussion identifying the issues that can be mapped out using Political, Economic, Social, Technological, Legal and Environmental (PESTLE) analysis. This method helps to structure the conversation and will also help to achieve buy-in to what is often seen as a peripheral or niche area.

4.2 Relevant Interested Parties

Similar to the context review discussed above, cross functional input is vital, as certain functions will identify with particular stakeholders, for example procurement with suppliers, and sales with customers. A workshop approach should be encouraged which can be undertaken independent to, or in conjunction with the context review workshop.

Once stakeholders and their requirements are identified, the next step is to consider which stakeholder requirements generate compliance obligations. Legal requirements should be identified before other requirements. This process of adopting requirements will allow you to focus and coordinate on what's important.

You should allow additional time to determine whether your organization has adequately determined its interested parties, their requirements, and their impact upon the EQMS. Determine which of these requirements are considered as organization's compliance obligations and describe the processes used by your organization to identify the interested parties.

Make reference to all objective evidence, including examples of interested parties and any resulting compliance obligations. Look for evidence that your organization has undergone a process to initially identify these groups, and then to identify any of their requirements that are relevant to your organization's EQMS. Examples of interested parties might include:

1. Customers;
2. Communities;
3. Contractors;
4. Suppliers;
5. Regulators;
6. NGOs;
7. Business partners;
8. Shareholders.

You should also determine whether these groups' requirements are reviewed and updated as changes in their requirements occur, or when changes to your organization's EQMS are planned. Ensure that your organization has properly identified its interested parties, and subsequently determined if any of their needs and expectations to be adopted as a compliance obligation. Ensure that this process is revisited periodically because the relevant requirements of relevant interested parties may change over time.

Although not specifically required, objective evidence could be a list or matrix of the interested parties, their corresponding needs and expectations, and indication of which of these accepted as compliance obligations. Compliance obligations might include:

1. All relevant legal requirements;
2. All requirements imposed by upper levels in the organization (for example corporate requirements);
3. All relevant requirements of relevant interested parties that the organization decides to comply with, whether contractually (customers) or voluntarily (environmental commitments).

In order to determine the relevance of an interested party or its requirements, your organization needs to answer: 'does this interested party, or their requirements, affect the organization's ability to achieve the intended outcomes of its EQMS?' If the answer is yes, the interested parties' requirements should be captured. There are many ways to capture this information, and your approach might include:

1. Information summarised as part of inputs to risk and opportunity registers (e.g. for ISO 9001 and ISO 14001 this could be an additional process in the identification of environmental aspects and impacts;
2. Recorded in a simple spreadsheet;
3. Logged and maintained in a database;
4. Captured and recorded through key meetings.

This section requires your organization to think clearly and logically about what can internally and externally affect your management system, and to be in a position to demonstrate that this information is regularly monitored and reviewed.

Communicating with stakeholders, particularly in relation to compliance obligations is vital. Communication with stakeholders should be based on performance data generated by your organization's EQMS, which will require robust monitoring and measurement to ensure that the data is reliable. You should ensure that the monitoring and measurement processes are included in the internal audit programme so your organization can assure itself that the checking processes are validated and that the data it is communicating is accurate.

4.3 Integrated Management Scope

You will need to verify that your organization's scope exists as documented information (which may be in the form of a Manual) in accordance with Clause 7.5.1a. Verify that the organization's scope has been established in consideration of organization's boundaries and applicability of the EQMS.

There is now essentially a process by which a scope must be determined; simply declaring a scope and excluding product-related aspects without evaluating the new considerations is not acceptable. Evaluate the process by which the scope was determined and review any process or procedure, if present. The lack of documented processes will require more reliance on objective evidence from interviews.

Look for confirmation that your organization has determined the boundaries and applicability of the EQMS to establish its scope with reference to any external and internal issues referred to in 4.1 and the requirements of relevant interested parties referred to in 4.2. The scope of your EQMS may include the whole of the organization, specific and identified functions within the organization, specific sections of the organization, or one or more functions across a group of organizations.

1. Has your organization determined the boundaries and applicability of the EQMS to establish its scope?

2. Has your organization effectively considered the following prior to determining the scope of the EQMS?
3. Has your organization effectively considered the extent of its control and influence, context, external and internal issues, compliance obligations, physical and functional boundaries, activities, products and services?
4. Has your organization made its scope available to all interested parties as documented information? A statement from your organization that the scope can be provided upon request may be accepted as objective evidence.

Check that this has been done in consideration of your organization's context and your products. You should review any exclusions previously noted under ISO 9001:2008 for ongoing suitability. Check that legacy issues which limited scope and omitted activities do not affect product conformity. Check that they are recorded and that the rationale for the exclusion is stated and justified.

4.4 Integrated Management Processes

ISO 9001:2015 and ISO 14001:2015 include specific requirements necessary for the adoption of processes when developing, implementing and improving a management system. This requires your organization to systematically define and manage processes and their interactions so as to achieve the intended results in accordance with both the policy and strategic direction. Auditors will want to determine:

1. How well is the 'process approach' understood in the organization?
2. Is the EQMS in line with the organization's context, and requirements of interested parties?
3. Is it likely the established EQMS will achieve its intended outcomes and enhance environmental and quality performance?
4. Does it include the enhancement of EQMS performance?
5. Does it include the desire to fulfil of compliance obligations and objectives?

Some documented information can be used to verify that your organization has implemented all required management system processes. If these are working well for your organization then there is no need to replace them.

Existing operational procedures, work instructions and flow charts are valid examples of documented information and can be used to evidence the requirement for 'documented information to support the operation of processes is being met'. Check that process inputs and outputs are defined and review how each of the processes are sequenced and how they interact. Look for evidence that your organization has:

1. Assigned duties/process owners; (Clause 5.3)
2. Assessed risks and opportunities; (Clause 6.1)
3. Provided resources; (Clause 7.1)
4. Maintained and retained documented information. (Clause 7.5)
5. Implemented measurement criteria; (Clause 9.0)
6. Improved its processes and the EQMS; (Clause 10.0)

Your organization should begin using quality and environmental performance indicators to control and monitor issues, and associated risks and opportunities. These types of objective evidence will indicate that your organization has successfully integrated the EQMS processes into its business processes. Evidence may include