

# Management System Guidance

ISO 9001:2015, ISO 14001:2015 & ISO 45001:2018

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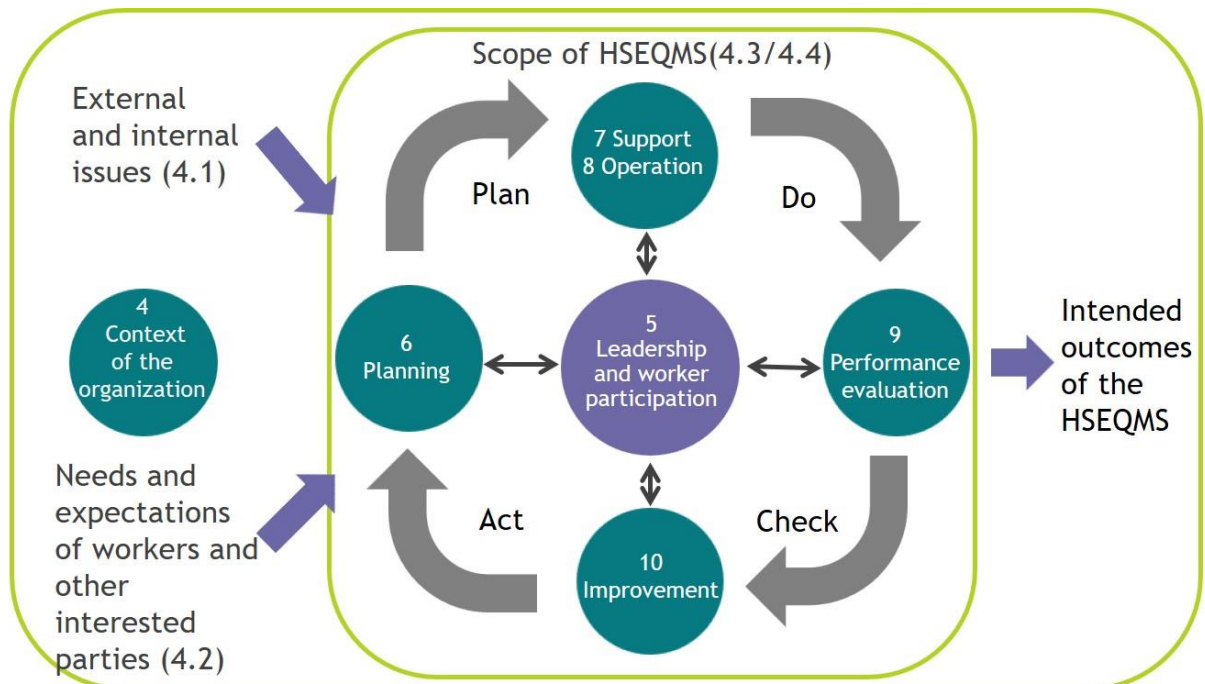
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## 1 Introduction

The purpose of this document is to outline a potential integrated management system to meet the requirements of ISO 9001:2015, ISO 14001:2015 and ISO 45001:2018. 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 HSEQ management system are the same; please refer to the figure below. The 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, environmental and health & safety 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, environmental and health and safety 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.

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 HSEQ management system?' 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, ISO 14001 and ISO 45001 this could be an additional process in the identification of environmental aspects and impacts, and health and safety hazards and risks);
2. Recorded in a simple spreadsheet;
3. Logged and maintained in a database;
4. Captured and recorded through key meetings.

The needs and expectation of interested parties can initially be captured using the Context & Interested Parties Matrix. Using this template, the respective Departmental Managers should identify and list the needs and expectations of any interested parties in relation with their department that may have potential impact on the achievement of your organization's objectives and policy, the conformity of our products, services and management system.

**Figure 1: Capturing Context & Interested Party Requirements**

Context & Interested Parties											
Ref.	4.1		Interested Party	4.2a			Interested Party Requirements	4.2c		4.3	
	External Issues	Internal Issues		Priority (1 to 4)	Relevance (1 to 4)	Power (P x R)		Criteria & Methods	QMS Scope Applicability	QMS Scope Exclusion(s)	
1	Customer perception	Impact on future business Achieving revenue targets	Current customer	4	4	16	Requirements documented by the contract Kept satisfied Kept informed	Monthly Business Ops Meeting Manage closely Increase repeat orders	Customer process	None	Order/K Custom satisfac
3	Too few qualified suppliers	Impact on priority and quality of build Supply goods and services on time	Suppliers	3	4	12	Defined procurement frequency and quantity On-time payment	Supplier performance evaluation report and auditing Review cost of build based on required/requested material specs	Yes	None	Procure
2	Outside competition for recruitment	Job performance	Employees	3	3	9	Good benefits package/fair Pay Safe and healthy environment Keep informed Working time arrangements	Monthly Business Ops Meeting Auditing Appraisals	Yes	None	Human

Also, use this table to map out and understand the expectations of relevant interested parties and how you plan to deal with their requirements through the management system. This information should be retained as a strategy or tactical planning document to underpin your organization's policies and to provide a road map to achieve future goals.

Based on the scoring output, consider and implement handling approaches, defined in the tables below, to manage and comply with the needs and expectations of our interested parties.

The Context & Interested Parties Matrix should be reviewed by Top management for acceptance and incorporation into the management system via addition to the scope, or incorporation into customer requirements, operational activities, process controls, hazard and aspect registers, risk and opportunity registers, and legal and compliance registers.

The *Context & Interested Parties Matrix* ranks the interested parties according to their degree of Priority and their Relevance (1 low, 4 high) to current objectives, policies and conformity of products and services. The spreadsheet multiplies these scores to generate an overall Power score that represents the Risk Priority Number (RPN) that is used to prioritize the adoption of any relevant need or expectation.

1. **Relevance** – effects upon organizational activities;
2. **Priority** – effects on decisions the organization makes;
3. **Power** – combined effects of influence the interested party has (Risk Priority Number RPN).

### Interested Party Scoring Matrix

Power (Effects of influence) = Priority x Relevance		Priority of Interested Party (Effects on decisions)			
		No importance	Minor importance	Some importance	Major importance
Relevance of Interested Party (Effects on activities)	Not relevant	1	2	3	4
	Minor relevance	2	4	6	8
	Influential	3	6	9	12
	Significantly relevant	4	8	12	16

### Action Matrix

Score	Power of Interested Party (Effects on decisions)		
	Description	Strategy	Objectives
1 to 3	Low relevance with low importance	Monitor interest	Detect opportunities from growing interest
4 to 6	Low relevance with high importance	Keep satisfied	Build interest, monitor for changes
7 to 11	High relevance with low importance	Keep informed	Maintain interest, monitor for changes
12 to 16	High relevance with high importance	Manage closely	Maintain support, monitor for changes

Communicating with stakeholders, particularly in relation to legal and compliance obligations is vital. Communication with stakeholders should be based on performance data generated by your organization’s HSEQ management system, 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 Management System 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 HSEQ management system.

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 HSEQ management system 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 HSEQ management system 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 HSEQ management system to establish its scope?
2. Has your organization effectively considered the following prior to determining the scope of the HSEQ management system?
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 Management System Processes

ISO 9001 includes 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 management system in line with the organization's context, and requirements of interested parties?
3. Is it likely the established HSEQ management system will achieve its intended outcomes and enhance environmental, safety and quality performance?
4. Does it include the enhancement of management system performance?
5. Does it include the desire to fulfil of legal and compliance obligations and objectives?

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 management system; (Clause 10.0)

Your organization should begin using quality, health & safety, 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 HSEQ processes into its business processes.

Evidence may include management reviewing HSEQ management system KPI's as part of regular business reviews, awareness of contractors and employees of their goals and expectations, etc. When auditing process performance and effectiveness; ensure that you prioritize the following:

1. Reviewing your organization's processes, their sequence and interactions, the identification of functions and assignment of responsibilities, and performance against requirements and defined measures, with focus on processes that directly impact the customer;
2. Reviewing the process for validation and approval of processes and process changes;
3. Reviewing the availability of resources and information required to operate and support associated activities, including appropriate training and competency of personnel;
4. Reviewing the process-based management techniques, including the examination of process measures (e.g., quality, tact time, cycle time, output effectiveness, control limits, process capability determination);
5. Reviewing plans in place to ensure performance objectives/targets are monitored, measured, and analyzed in order to realize the planned activities and achieve the planned results (e.g., verify performance information, percentage of nonconforming parts/products, percentage OTD);
6. Promoting continual improvement by reviewing actions taken when objectives/targets are not met;
7. Pursuing audit trails addressing customer concerns or requests for corrective actions, performance against objectives, and relevant process controls.

### 4.4.1 Identifying Processes

Use the *Process Matrix* worksheet to align the clauses and requirements of ISO 9001:2015, ISO 14001:2015, and ISO 45001:2018 to the processes within your organization. The *Process Matrix* provides a very convenient overview of all the processes that make up your management system. Defining the sequence and interaction of processes is also a requirement.

This process matrix itself can satisfy this requirement.

1. Enter the process/functional area names in Row 2, we've included examples to get you started. We've set the spreadsheet up with three primary process groups to denote their sequence.
2. Enter an 'X' in the cell if the process has responsibility for ensuring conformity to clause(s) listed below. Where one or more process shows an 'X' in the same row as the requirement, this indicates an interaction between processes.
3. Using the 'filter' drop-down menu, select 'X' to show the applicable clauses to each process.
4. After you're done populating this worksheet, copy columns 'F' to 'AC', and paste them in to the 'Process Matrix' worksheet in the *Internal Audit Programme* workbook.

A good way to do this is to think about how workflows through your organization. Consider how the inputs and outputs to the key processes flow from one process to the next, what sub-processes might exist within it and how the support processes link in. For now, ignore the standard, in fact put it in a draw and forget it exists. Instead focus on your key processes and how the departments interface with each other.