Auditors Course-Outline

SHEQ is an acronym for Safety, Health, Environment and Quality, generally used regarding workplace SHEQ management. SHEQ is a technical field that applies several disciplines for continuous improvement of occupational Safety, Health, Environment and Quality factors that impact on any organisation.

The organization should integrate the actions to address risks and opportunities into its SHEQ Management System processes using the Plan Do Check Act cycle. Not all processes of a Safety, Health Environment and Quality Management System represent the same level of risk in terms of the organization’s ability to meet its objectives and the effects of uncertainty are not the same for all organizations.

Each organization is therefore responsible for the extent it applies risk-based thinking and the actions it takes to address risk, including whether or not to retain documented information as evidence of its determination of risks.
Integrated Management System (IMS): A Good Answer to Address Multiple Challenges

An integrated management system is relevant to any organization because it helps the organization to deal effectively with challenges like limited resources, growing competitiveness, and higher expectations from customers and other interested parties (e.g., government and regulatory bodies) – regardless of its market. Therefore, if you have many management systems in your organization, or you are planning to deploy new ones, now is an ideal time to consider management system integration in your organization, to improve results and optimize the alignment of management practices.

Management Standards


Our Integrated Management System (IMS) training courses allow you to learn the individual requirements of each standard, all the while understanding the elements and clauses that allow the standards to prescribe a more holistic, risk based approach to the three disciplines.

When teamed with our internal and external lead auditor courses, the integrated management systems course will enable you to get the most out of your audits and help your own and other organisations to transition to the new management system requirements.

What is an integrated management system? An integrated business management system focuses on competitive advantage, employing common processes to efficiently manage and optimize performance.

This Five -day course focuses on the integration of the standards. The intent is not to teach the “shall” of each standard, but rather to understand how the requirements and clauses are integrated and their impact on audit systems and the auditing process. Other topics include audit systems, the auditing process and auditing instruments; the documentation process; conducting an audit; writing an audit report; and taking corrective action.

The training course is built around case studies, which includes the integrated approach. Also included are case studies to develop skills for identifying risk and opportunities.

What is meant by IMS audit?

Developing and enhancing integrated management system audit skills. The objective is to impart knowledge & skills for delegates to plan, conduct & manage integrated management system (IMS) based on requirements of ISO 9001, ISO 14001 & DIS/ISO 45001.
Risk Management - Principles & Guidelines  
(ISO 31000:2009)  
DAY ONE: OUTLINE

All organizations face uncertainty in meeting their objectives. Risk Management is a systematic framework and process for maximizing those areas where outcomes can be controlled while minimizing those that cannot be predicted and over which control cannot be exercised.

The outline and curriculum start with understanding risk management which will provide the foundation you need to start managing your organization’s risks effectively. Risk based thinking form the basis for all new ISO Standards.

ISO 31000 is a practical document that seeks to assist organizations in developing their own approach to the management of risk. But this is not a standard that organizations can seek certification to. By implementing ISO 31000, organizations can compare their risk management practices with an internationally recognized benchmark, providing sound principles for effective management.

Learning

- Explain & Describe the fundamentals of a risk management system
- Describe the relevance and context of risk management
- Outline the structure and purpose of risk management
- Elaborate on the key principles of risk assessment
- Identify key aspects and interrelationships of a risk management framework with the organization’s management system
- Describe the risk management process
- Outline a process for implementation of a risk management framework
- The requirements for risks and opportunities in all three management Standards QMS/OH&S/EMS refer to Section 6.1 on actions how to address risks and opportunities.
- Context of the organization: This is a new concept and relates to the external factors and conditions that could affect an organization and its ability to provide products and services to customer requirements. Examples could include governance, regulation, sector, stakeholders and shareholders.
- How to conduct a SWOT or PESTLE Analysis

What are the benefits?

- Increased business resiliency & Understanding and management of risk
- Understand risk and opportunity, risk based thinking internal and external context for application to meet management system requirements
ISO/DIS 45001 has been written using the new ISO High Level Structure (HLS) for management system standards which:

- Integrates with other management systems
- Provides an integrated approach to organizational management
- Reflects the increasingly complex environments in which organizations operate
- Enhance an organization’s ability to address their health & safety risks.

How does ISO 45001 relate to other standards?

ISO 45001 follows the high level structure approach that is being applied to other ISO management system standards, such as ISO 9001 (quality) and ISO 14001 (environment). In developing the standard, consideration has been given to the content of other international standards (such as OHSAS 18001 or the International Labour Organization’s “ILO –OSH Guidelines”) and national standards, as well as to the ILO’s International Labour standards and conventions (ILSs).

Those adopting the standard, once it has been published, should find its requirements consistent with the other standards. This will allow for a relatively easy migration from using an existing OH&S management system standard to using ISO 45001, and will also allow for the alignment and integration with the requirements of other ISO management system standards into their organization’s overall management processes.

Benefits

An ISO 45001 based OH&S Management System will enable an organization to improve its OH&S performance by:

- Developing and implementing an OH&S policy and OH&S objectives
- Establishing systematic processes which consider its “context” and which take into account its risks and opportunities, and its legal and other requirements
- Determining the hazards and OH&S risks associated with its activities, seeking to eliminate them, or putting in controls to minimize their potential effects
- Establishing operational controls to manage its OH&S risks and its legal and other requirements
- Increasing awareness of its OH&S risks
- Evaluating its OH&S performance and seeking to improve it, through taking appropriate actions
- Ensuring workers take an active role in OH&S matters
In combination these measures will ensure that an organization’s reputation as a safe place to work will be promoted, and can have more direct benefits, such as:

- Improving its ability to respond to regulatory compliance issues
- Reducing the overall costs of incidents
- Reducing downtime and the costs of disruption to operations
- Reducing the cost of insurance premiums
- Reducing absenteeism and employee turnover rates
- Recognition for having achieved an international benchmark (which may in turn influence customers who are concerned about their social responsibilities)
- Align OHS management with the SHEQ /IMS in order to avoid duplication of effort, documentation and procedures

Learning

Identify the structure and requirements of an OHS MS for an effective integration into an organisation’s SHEQ /IMS and what this means for you. Gain a thorough understanding of the history and development of ISO/DIS 45001, key terms, definitions and the ISO standardized high level structure. You’ll learn to interpret and apply the key concepts and principles of the standard to existing processes within your organization.

ISO 9001:2015 is the fifth edition of the Quality Management System (QMS) standard and deemed to be the most significant change since year 2000. Context of the organization is one of the new concepts introduced in this version. It requires the organization to determine the issues and requirements that can impact on the planning of the quality management system. The implementation of QMS should be the strategic decision of the organization and is influenced by the context of the organisation and the changes in that context.
The standard also requires an organization to consider the following:
- Alignment of the QMS with the strategic direction of the organization
- Determining the processes needed to achieve the intended outcomes and
- Addressing risks and opportunities arising from the context of the organization

**Risk Based Emphasis**

ISO 9001 has always advocated mitigating and avoiding risk; it has implicitly addressed the issue. The new ISO 9001:2015 standard explicitly expects organizations to identify and address risks affecting product and service compliance; resulting in improved customer satisfaction. Besides identifying the risks, the new ISO standard expects organizations to address opportunities for improvement based on the risk analysis. Although it does not require you to create a formal risk management system

**Internal Auditor ISO 9001:2015**

An ineffective audit can mean severe consequences: resulting in process failure, customer dissatisfaction and regulatory noncompliance. Optimize your auditing skills with the internationally recognized ISO 9001:2015 and boost your internal audit capabilities. Gain confidence in planning and performing an effective audit, as well as reporting and taking corrective action where necessary.

This IMS course develops the necessary skills to assess and report on the conformance and implementation of processes based on ISO 9001:2015. You’ll learn how to initiate an audit, prepare and conduct audit activities, compile and distribute audit reports and complete follow-up activities.

All ISO standards are reviewed every five years to establish if a revision is required to keep it current and relevant for the marketplace. ISO 9001:2015 is designed to respond to the latest trends and be compatible with other management systems such as ISO 14001 and DIS/ISO 45001. ISO 9001:2015 standard has been restructured: chapter and subchapter titles, and order of clauses and paragraphs, have been thoroughly revised. These changes reflect a strategic choice that will gradually be applied to all Management System Standards (MSS)

- Enhance an organization’s ability to satisfy its customers.
- Top Management to take accountability for the Management Systems’ effectiveness rather than just being responsible.
- Moving from just being ‘committed’ to demonstrate ‘Leadership’ thanks to the High Level Structure, ISO 9001:2015 can be easily integrated with other management systems (ISO 14001:2015, ISO 45001 ...).
- Proactively identify and manage risks.
- Provide due consideration to the needs and expectations of all relevant interested parties.
- ISO 9001:2015 will better fit all types of companies due to simplified language and less directive requirements.
- The creation of a knowledge-database will ensure the effective internal exchange of company-owned knowledge.

**Learning**

- To provide delegates with an appreciation of how to audit management systems in accordance with the guidelines in ISO 19011, for conformity with the requirements of ISO 9001 and the company QMS.
- Useful as an introduction to anyone involved in the development, implementation and management of an ISO 9001:2015 management system, and/or preparing for performing internal audits.
By the end of the Module delegates will be able to understand and describe:

- The purpose, structure and significance of a QMS
- The terms and definitions used in auditing, including objectives, criteria and scope
- The audit cycle
- Auditor/lead auditor responsibilities
- Planning and conducting audits of processes for which documented procedures do or do not exist
- Gathering and evaluating objective evidence
- Audit reporting and follow-up

Auditing the new ISO 9001

ISO 9001:2015 is expected to be much less rigid than previous versions, and to incorporate more business management terminology and concepts. Documentation requirements are much less prescriptive and left more to the organization to judge its own needs.

The standard is written for the benefit of organizations, not auditors. There are likely to be more challenges to auditors to understand and recognise the extent and type of evidence that would be acceptable to confirm compliance to the 2015 requirements.

ISO 9001:2015 auditors will be engaging in dialogue with business leaders, seeking understanding and explanations from them about policy, strategy and quality objectives, and ensuring these are compatible.

The audit experience from the client perspective is could be very different. Systems should be updated to benefit the user, not the author!

Benefits

Upon completion of the training, delegates will:

- Have a good understanding of the organizational context, risk-based thinking and process approach concepts necessary for establishment of a Quality Management System relevant to the organization’s strategy
- Be able to use the management tools and techniques to develop and audit the system in a structured approach
Gain competitive edge and international recognition with an ISO 14001 Environmental Management System (EMS). Build customer confidence in your commitment to managing environmental impact as a vital aspect of business success.

Meet the latest EMS policy requirements and benefit from a structured approach to achieving environmental objectives. With an ISO 14001 EMS you will cut costs and energy use through streamlined processes and minimise risk of environmental accidents. With increased EMS awareness across your organisation, you can achieve the highest operational standards.

ISO 14001:2015 Revision Objectives

All ISO standards are reviewed every five years. ISO 14001:2015 is written with the High Level Structure (HLS) that facilitates the integration of parts of other complementary Management Systems, like ISO 9001:2015, ISO 45001 (future release), ISO 55000, among others. ISO 14001:2015 standard has been restructured: chapter and subchapter titles, and order of clauses and paragraphs, have been thoroughly revised.

- A better environmental impact management through risks and opportunities assessment.
- Top management accountable for effectiveness of the Management System.
- Integrates of Management System requirements into business process.
- Require explicitly determination of risks.
- Understand the organization and its context. The new revision introduces the Life Cycle concept.
- Increased prominence of environmental management within the organization's strategic planning processes.
- Addition of proactive initiatives to protect the environment.
- Improving environmental performance added. Addition of a communications strategy
Main changes in ISO 14001:2015

ISO 14001 has undergone its second revision to ensure it remains relevant in the decades to come. The major changes in the standard are mentioned below.

- Structural change
- Substantive changes
- Life cycle approach
- Rethinking impact
- Risk and opportunities
- Pro-active reporting
- Strengthened compliance
- Continual improvement

Learning

This Module will help you:

- Grasp the aims, benefits and requirements of an ISO 14001:2015 audit
- Interpret ISO 14001:2015 requirements for audit application
- Plan, conduct and follow-up auditing activities that add real value
- Access the latest auditor techniques and identify appropriate use
- Build stakeholder confidence by leading and managing processes in line with the latest requirements
- Grasp the application of risk-based thinking, leadership and process management

ISO 19011 is applicable to all organizations that need to conduct internal or external audits of management systems or manage an audit programme. It is intended to apply to a broad range of potential users, including auditors, organizations implementing management systems and organizations needing to conduct audits of management systems for contractual or regulatory reasons.
ISO 19011:2011 provides guidance on auditing management systems, including the principles of auditing, managing an audit programme and conducting management system audits, as well as guidance on the evaluation of competence of individuals involved in the audit process, including the person managing the audit programme, auditors and audit teams.

ISO 19011:2011 is applicable to all organizations that need to conduct internal or external audits of management systems or manage an audit programme.

The application of ISO 19011:2011 to other types of audits is possible, provided that special consideration is given to the specific competence needed.

By participating in this online course, you will be able to:

- Master the auditing techniques per ISO 19011, which are used for quality, environmental, and safety management system audits
- Learn how to prepare and conduct an audit
- Be exposed to real auditing case studies covering many industries

Major topics include:

- General Requirements of ISO 19011
- Auditing techniques
- Auditing Case Studies

This IMS/SHEQ course is for you if you:

- Want to quickly and efficiently learn how to audit management systems
- Want to be a lead auditor to conduct internal audits and supplier audits for your company
- Want to improve your CV and career opportunities with qualifications in SHEQ /IMS assurance and leading 1st part audits
- Want to upgrade your expertise from auditing with Do NOT have time to allocate a day to take an ISO 19011 class

How will the Auditor benefit?

- Prepare, conduct and follow-up on ISO 9001:2015/ISO 14001/DIS ISO 45001 audit activities
- Apply the benefits and requirements of an IMS/SHEQ Audit based on ISO 9001:2015/ISO 14001/DIS ISO 45001
- Gain the skills to assess an organization’s capability to manage its SHEQ /IMS management system (SHEQ MS)
- Offer confidence to customers and suppliers that a product or service meets regulatory requirements
- Write factual audit reports and suggest corrective actions
- Enhance customer satisfaction though effective audit application and commitment to continual improvement.
How to approach the SHEQ/IMS Audit

Integrated Management Systems - IMS hold lots of opportunity to avoid duplication of effort. With the recent revisions of ISO 9001:2015 and ISO 14001:2015, and the upcoming release of IDIS/ISO 45001:2017, organisations will be able to integrate their Quality, Environmental, and Occupational Health and Safety management systems like never before.

Our integrated management systems training courses allow you to learn the individual requirements of each standard, all the while understanding the elements and clauses that allow the standards to prescribe a more holistic, risk based approach to the three disciplines.

When teamed with our internal or external lead auditor courses, the integrated management systems course will enable you to get the most out of your audits and help your own and other organisations to transition to the new management system requirements.

Approach to Integrated Management Systems

When talking about an integrated management system (IMS), we mean systems where we deal with as many requirements as possible in the same way. E.g., if two systems have policy requirements (like management approval, revision, and communication), why don’t we deal with them the same way? Why don’t we control documents and records in the same form?

When thinking about integrating management systems, there are many courses of action to be considered based on the organisation’s context, the number of existing systems and the systems maturity. In terms of standards requirements, you can use PAS 99 as a guide (it can help you map and define one set of documentation, policies, procedures, and processes suitable for all of your management systems).

For actions to be considered, see the following:

**Awareness & Training.** Use a single procedure to prescribe the method and frequency of training and awareness activities, as well as the same training materials related to common requirements. This makes it easier to make the organization’s employees aware of the standards’ requirements, how these requirements can help improve business results, and how employees can help to implement and be compliant with them.

**Objectives and policy definition.** Identify the organization’s purposes for the system and develop a single policy that covers all the organization’s management systems.

**Context definition.** Determine all the internal / external factors and interested parties through a unified system to find correlations more quickly and more thoroughly.

**Actions to treat risks / seize opportunities.** Previously known as preventive actions, your organization should develop plans to deal with potential negative / positive impacts that it may be exposed to.

**Documentation design and implementation.** Use unified documentation for the processes of the integrated management system, like document and records control and internal audit.

**Internal audit.** Make use of the same internal auditor to verify if the integrated processes are being realized as planned and achieving the expected results.
Management review. Turn multiple reviews into a single one to aid top management’s understanding of the integrated management system achievements and results.

Corrective actions. A single procedure can be used to take and follow up on the measures taken if processes and/or results are not as expected. For organizations with certified systems, or those considering certification, when top management asks about the certificates and the certification processes, you can answer that by using the IMS approach the certification process will be cheaper, because the integrated certification will be performed only one time for all integrated systems.

An Integrated Management System is relevant to any organization, regardless of their market. Integrating several management systems into a unified system (who share documentation, policies, procedures and processes) makes sense. The IMS SHEQ training courses use accelerated learning techniques including a blend of lectures, workshops and interactive sessions to ensure that you fully understand the subject matter.

This ISO 9001, ISO 14001 and DIS/ISO45001 integrated management systems auditing training gives you the skills to effectively manage the internal auditing of your organization’s integrated management systems.

By the end of the 5 day program, you will understand the background to ISO 9001 (Quality), ISO 14001 (Environment), DIS/ISO 45001 OHS and be able to identify the requirements set by each standard.

You will also put into practice the fundamental techniques for performing internal audits. This means having the ability to identify improvement opportunities within your organization, and to prevent undesirable situations from occurring.

Course Outline Summary

- ISO 31000 - Risk Management and Risk and Opportunities
- ISO 9001 – Quality Management System Requirements and Audits
- ISODIS 45001 - Health and Safety Management System and Audits
- ISO 14001 – Environment Management System Requirements and Audits
- ISO 19011 - Auditor and steps in the SHEQ/ IMS Auditing process

An Integrated Management System can benefit your organization through increased efficiency and effectiveness, and cost reductions while minimizing the disruption caused by several external audits. It also shows your commitment to increased performance, employee and customer satisfaction, and continuous improvement.

With an integrated management system, you work together, with each function aligned behind a single goal: improving the performance of the entire organization. Instead of silos, you have a coordinated effort which is greater than the sum of its parts and is not only more efficient but more effective. An integrated system provides a clear, uniform image of your entire organization, how they impact each other, and the associated risks. Efficiency is gained from less duplication, and it becomes easier to adopt new systems in future.

An IMS allows your management team to create one system that can help to effectively and efficiently deliver your organization’s objectives. From managing employees’ needs, to monitoring risks and hazards, from reducing inefficiencies and maximizing resources, an integrated approach can help you achieve your objectives.
Having a competitive edge in today’s ever-changing international marketplace means ensuring your workforce is highly qualified and well-informed. ISTEC’s Training Services offer organizations a comprehensive training portfolio for enriching their workforce.

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