

PAS 99: Integrated Management Systems Checklist

IMPLEMENTATION CHECKLIST



...making excellence a habit.™

INTRODUCTION

This checklist is intended to be used by those organizations who are either looking at implementing an integrated management system for the first time or by those who currently have an integrated management system and would like to use PAS 99 as a framework for their management systems. It should be used in conjunction with PAS 99.

REQUIREMENT	ANSWER	ACTION REQUIRED/COMMENT	BY WHOM	BY WHEN	LEVEL OF COMPLIANCE		
					None	Partial	Full
4.1.1 Have you agreed with all interested parties concerned what the scope of the integrated management system is going to be? (Note: that the integrated management system does not only have to include external standards and specifications; you may have some internal ones that could be included too.)							
Will it be the whole or part of the organization?							
Who and what will the integrated management system cover?							
What management systems standards/specifications will be used?							
4.1.2 Having agreed the scope of the integrated management system, who and how is the integrated management system going to be established, implemented and maintained in accordance with PAS 99 and the management systems standards/specifications used?							
4.1.3 a) In line with the scope of the integrated management system, have the processes needed for the implementation, operation and maintenance of the integrated management system been identified and also are these processes throughout the organization? (This means that ALL parts of the organization that are within the scope of the operations should be included. i.e. accounts, marketing, HR etc as they are part of the organization that is providing products and services to the customer.)							

REQUIREMENT	ANSWER	ACTION REQUIRED/COMMENT	BY WHOM	BY WHEN	LEVEL OF COMPLIANCE		
					None	Partial	Full
4.1.3 b) Have you determined the sequence and interaction of the processes mentioned in 4.1.3. a) and how can these processes be integrated to streamline the management system?							
c) Have you determined what criteria and methods are required to ensure that the processes are effective?							
4.1.3 d) Have you determined what resources and information will be required to:							
1. Implement the processes for the integrated management system?							
2. Communicate what you are doing with the integrated management system processes? (This is a not a one man project! It will need to be a team approach, so resources to help with the implementation will be required.)							
4.1.3 e) How will you monitor measure and analyse the integrated management system processes?							
How will the results of this analysis be used to improve the integrated management system?							
4.2 Is there an integrated management system policy?							
This should include the policies of all the management systems/specifications used in the integrated management system. Ref. Annex A Para A1 of PAS 99.							
4.3.1 a) Have the aspects of your activities been identified within the scope of the integrated management system?							
4.3.1 b) Have the risks that can have a significant impact on meeting the policies and objectives of the organization been identified?							

REQUIREMENT	ANSWER	ACTION REQUIRED/COMMENT	BY WHOM	BY WHEN	LEVEL OF COMPLIANCE		
					None	Partial	Full
4.3.2 Have all the legal requirements been identified for the scope of the integrated management system? (These should take into account the requirements of the standards/specifications used for the Integrated Management System.)							
4.3.3 Has contingency planning for the organization for dealing with unplanned events, potential emergencies and/or disasters been addressed and have plans been put in place to deal with the consequences of such disasters happening?							
4.3.4 Have measurable objectives for the integrated management system been established and agreed? (The objectives should take into account the significant aspects and impacts together with any legal requirements.)							
4.3.5.1 Has a management representative/s for the integrated management system been appointed?							
4.3.5.2 Have the roles, responsibilities and authorities for the integrated management system been documented and communicated to those that need to know?							
4.4.1 Have the operations that are associated with the significant aspects (See 4.3.1) been identified and are these to be carried out under specified conditions so that they meet the organizations policies, objectives and legal requirements?							
4.4.2.1 Are the people who are working within and are associated with the integrated management system competent for the tasks they have to carry out?							
4.4.2.2 a) Where action has been taken to ensure staff are competent, has this been evaluated for its effectiveness. (This should be reviewed approximately one month after the action has been taken, giving the person concerned a chance to see if the new skills acquired work.)							

REQUIREMENT	ANSWER	ACTION REQUIRED/COMMENT	BY WHOM	BY WHEN	LEVEL OF COMPLIANCE		
					None	Partial	Full
b) Are staff who are working within the integrated management system aware of the relevance and importance of their contribution to the integrated management system?							
4.4.3.1 Does the integrated management system documentation include:							
a) The scope of the integrated management system and the standards/specifications used?							
b) Policies and objectives?							
c) An integrated management system manual covering the main elements processes and procedures related to the integrated management system?							
d) The procedures and records from the relevant standards/ specifications used in the integrated management system?							
e) Documents that are necessary for the effective planning, operation and control of the processes of the integrated management system?							
4.4.3.2 Do the procedures for the control of the integrated management system include:							
a) Approval of documents?							
b) Review and updating of documents?							
c) The identification of the current revision status?							
d) Ensuring that documents are available at the point of use?							
e) Documents that are legible and identifiable?							
f) Control over documents from external origins?							
g) Adequate identification of obsolete documents that are still in use?							
4.4.3.4 Have you identified which records from all the management systems standards/specifications are needed to ensure there is evidence to show the effective operation of the integrated management system?							

REQUIREMENT	ANSWER	ACTION REQUIRED/COMMENT	BY WHOM	BY WHEN	LEVEL OF COMPLIANCE		
					None	Partial	Full
4.4.3.5 Is there a procedure that details how records are maintained and retrieved etc?							
4.4.4.1 Are there arrangements to:							
a) Internally communicate the integrated management system?							
b) Deal with communications from interested parties?							
4.4.4.2 Are there arrangements for making decisions for communicating with external interested parties?							
4.4.4.3 What are the methods for communicating with external interested parties?							
4.5.1 What monitoring and measurements are carried out to ensure that the requirements of the integrated management system are being met? (Are the processes ensuring that objectives and policies are being achieved?)							
4.5.2 Are evaluations carried out of the legal and other requirements applicable to your company processes and activities?							
4.5.3.1 Are the integrated management system internal audits carried out to ensure:							
a) The integrated management system conforms to the management systems standards/specifications?							
b) That the integrated management system has been properly implemented and maintained?							
4.5.3.2 Are the audits based upon the aspects, impacts and risks to the integrated management system?							

REQUIREMENT	ANSWER	ACTION REQUIRED/COMMENT	BY WHOM	BY WHEN	LEVEL OF COMPLIANCE		
					None	Partial	Full
4.5.3.3 Do the audit arrangements cover the scope, frequency, methodologies and competencies for conducting integrated management system audits and the way in which they are reported?							
4.5.3.4 Are the auditors qualified / trained to conduct multi-disciplined integrated management system audits?							
4.5.4 Are there defined methods for identifying, correcting and assessing the impact of non-conformities of the integrated management system?							
4.6.1.1 Are there arrangements for the continual improvement of the integrated management system through the use of the integrated management system policy, objectives, audit results etc?							
4.6.1.2 Has the responsibility and authority for the improvement of the integrated management system been defined?							
4.6.2 Is there a process to:							
a) Review non-conformities both actual and potential?							
b) Determine the causes of non-conformities both actual and potential?							
c) Evaluate any actions needed to ensure that non-conformities do not occur or recur?							
d) Take any action needed?							
e) Review the effectiveness of the actions taken to ensure action is appropriate to the risks encountered?							
4.7.1.1 Are management reviews of the integrated management system carried out by top management at planned intervals to determine the suitability, adequacy and effectiveness of the integrated management system?							

REQUIREMENT	ANSWER	ACTION REQUIRED/COMMENT	BY WHOM	BY WHEN	LEVEL OF COMPLIANCE		
					None	Partial	Full
4.7.1.2 Do the management reviews assess opportunities for improvement that include taking into account policies and objectives?							
4.7.1.3 Are records kept of the management reviews?							
4.7.2 Does the management review assess and ensure all those items mentioned in this requirement are taken into account?							
4.7.3 Does the output of the management reviews carried out take all those items mentioned in this requirement into account?							
Notes on management reviews: <ul style="list-style-type: none"> • It is recommended, if possible, to have the management review as part of a board meeting. This review should be of a strategic nature and act as a pointer to where the organization should be going in the future. • An integrated management system should be taking into account the whole organization and its activities in consultation with interested parties and therefore is the responsibility of the CEO and their board. 							



...making excellence a habit.™