



# FACILITY MANAGEMENT SYSTEM GUIDANCE

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# ISO 41001:2018 FACILITY MANAGEMENT SYSTEM GUIDANCE

## Status

This document is uncontrolled; uncontrolled documents are not subject to update notification.

## About this Guidance

This guidance has been prepared for the purpose of assisting your organization's implementation and operation of your Facility Management System (FMS) to demonstrate conformance with ISO 41001:2018.

FMS Audit has endeavored to provide accurate, balanced advice and recommendations to assist your organization gain the maximum benefit from implementation and operation of the FMS in accordance with FMS Audit's published Terms & Conditions. Nonetheless, this guidance is provided on an as-is basis. FMS Audit cannot accept responsibility for any losses, disruption or damage to your business, Information or computer systems that may occur while using or relying on the Material contain herein.

# START

## Timescale

An important part of the planning and implementation of your Facility Management System (FMS) is a realistic timeline and schedule to ensure that you achieve all that you need to do, when you have to do and that you have the resources needed to do it. A realistic timescale for achieving steady-state operation of your FMS is 6-12 months. This period can be more or less depending on such factors as the maturity of your business and its processes, scale and complexity of operations and resources committed to the FMS.

## Schedule

### Year 1

#### *Month 1: Implement your FMS*

In your first month, you should aim to establish a working arrangement and baseline for your FMS that is aligned with the requirements of ISO 41001 or which will be progressively aligned with it over the coming 3-6 months.

Your FMS Manual is available online from the FMS Manual section in the Website and also as a downloadable Word document for customizing with your organization's identity. Note that the downloadable copy of the FMS Manual is issued under licence to your organization. It should not be circulated outside your organization or shared with any other party - see our Terms & Conditions. Downloadable forms are similarly available and issued under licence and can be downloaded from the FMS Forms section.

You should read and re-read your Facility Management System Manual (FMS Manual) until you are familiar with its main requirements and the workflow that is implied by the ordering of the sections. Note that each section equates to a clause in ISO 41001 and that the main clauses (4-10 inclusive) adopt a consistent format, commencing with a summary of the requirements followed by expected practices and, finally, procedures. Applicable forms are listed; however, not all are provided by FMS Audit as some are expected to be available as part of your general business management and administration. Nonetheless, if you are having difficulty sourcing any of them then contact us for advice.

The essential model to which you will be working is illustrated below in Figure 1. The aptly named Plan-Do-Check-Act model should be communicated widely within your organization

and among your key stakeholders and other interested parties. They underpin everything you do in your facility management. Let it work for you, by using it to provide a simple, but disciplined, way to develop and improve your FMS.

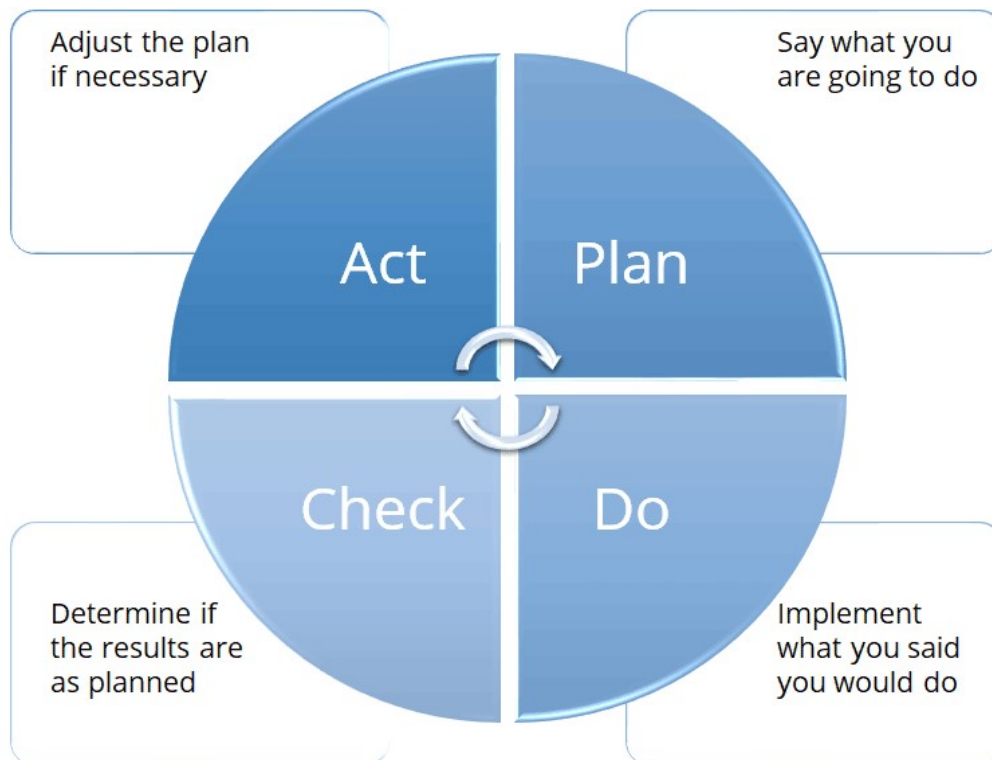


Figure 1. Plan-Do-Check-Act model behind the requirements of ISO 41001

The steps involved in this initial period are as follows.

1. Review your existing arrangements, including facility management processes, practices and procedures to determine alignment with the requirements of ISO 41001; in other words, identify any gap between your current way of working and the requirements and document them.
2. Prepare a plan for re-aligning your way of working with the requirements of ISO 41001. Be realistic about the changes that are needed, the time these might take and the resources that will be required.
3. Systematically review your FM objectives, FM strategy, FM policy, processes, practices and procedures to ensure they are aligned.
4. Document the above as your organization's baseline and use it as a point of reference against which to measure your subsequently improved performance.

Remember, your FMS Manual will help you to identify the requirements, expected practices and procedures to be followed and any forms that should be utilized.

Once you have completed the above steps, you will have a good understanding of the effectiveness of your current working arrangements which should highlight any areas where changes are necessary.

### *Month 2: Undertake first Internal Audit*

In your second month, if the steps outlined for the first month have been followed, you will be in a position to undertake your first Internal Audit.

Internal Audit serves the following purposes.

1. Assesses the performance and effectiveness of the FMS and your organization's overall performance.
2. Establishes if you are complying with your plans as recorded in the FMS.
3. Identifies where attention is needed to align with the requirements of ISO 41001.

Further details on the conduct of Internal Audits are given in the later section on "Audits".

### *Month 2: Undertake first Management Review*

Also, in your second month, if the steps outlined for the first month have been followed, you will be in a position to undertake your first Management Review.

Management Review serves the following purposes.

1. Reviews the FMS to ensure its continuing performance.
2. Addresses the possible need for changes to the FM objectives, FM strategy, FM policy, targets and other elements of the FMS.
3. Identifies elements of the FMS that require change to improve performance and effectiveness.
4. Contributes directly to the continual improvement of the FMS and your organization.

Internal Audits are the main inputs to Management Reviews, which are where the organization's top management can determine if the FMS is working as intended or if corrective action or other change is necessary to conform with the requirements of ISO 41001 and the needs of the demand organization; that is, your organization's client/customers.

Further details on the conduct of Management Reviews are given in the later section on “Reviews”.

#### *Confirmation of Conformance issued*

Satisfactory submission of the first Internal Audit Report and Management Review, with supporting evidence, leads to the issue of a *Confirmation of Conformance to ISO 41001*. Submissions are checked upon receipt by FMS Audit and a decision is taken whether to issue the confirmation directly or if further details and/or clarification are necessary. For instance, if checking reveals insufficient information either in the completion of the online Internal Audit Report and Management Review or in the supporting evidence, FMS Audit will seek further details and/or clarification.

Our aim at all times is to ensure that the *Confirmation of Conformance* means what it says; that is, your organization’s FMS is in conformity with the requirements of ISO 41001. You may be expected subsequently to provide details of your submission documentation to third parties, such as your client/customers, to show that a proper audit, review and assessment of your FMS has taken place.

FMS Audit will issue a *Confirmation of Conformance* within seven working days. It shall be valid until the end of your organization’s current membership.

Note that in accordance with our Terms & Conditions, we are unable to accept any online Internal Audit Reports or Management Reviews until one month after your organization has joined our Gold or Platinum Membership Plans. It is simply not possible to simultaneously establish, operate and audit an FMS. These provisions do not apply to the Silver Membership Plan; however, a Member may upgrade to Gold or Platinum Membership at any time subject to the payment of the current upgrade fee(s) as posted in the FMS Audit Website.

#### *Month 6: Internal Audit*

By this point, your FMS should have reached or should be close to reaching steady state, in that it has become an integral part of your day-to-day operations. Any significant issues or gaps between your way of working and the requirements of ISO 41001 should have been eliminated or have no impact on your ability to conform with the requirements or the fulfilment of your obligations to the demand organization.



It is a requirement of your membership that you undertake an Internal Audit at intervals no greater than six-monthly during the period of your membership together with a Management Review in order for your *Confirmation of Conformance* to remain valid.

If it is your organization's intention to seek an External Audit, you should contact us with your broad plans, after which we shall ask you to complete a questionnaire to determine its scope, extent, timing and cost - see also note below.

#### *Month 6: Management Review*

You should continue with your Management Reviews in the same way as with your Internal Audits for your *Confirmation of Conformance* to remain valid.

#### *Apply for External Audit in Year 2*

You may book an External Audit for the second year of your membership on the understanding that you have undertaken, or will undertake, at least one further Internal Audit and Management Review in the first year of membership. You may be asked to submit evidence of same before arrangements for the External Audit are finalized.

## Year 2

### *External Audit*

Arrangements will be made for an External Audit by FMS Audit directly, or by a suitably qualified auditor on its behalf, to ensure that an independent third-party review of your FMS takes place. The physical location of your organization is a key factor in determining the arrangements for External Audit and the associated fee.

### *ISO 41001 Certificate issued*

Successful External Audit of your FMS results in the issue of a *Certificate of Conformance to ISO 41001*, and the designation "ISO 41001 Certified", which shall be valid for three years subject to continuing periodic Internal Audits and Management Reviews and continued membership of FMS Audit in line with the prevailing pricing structure. Annual surveillance reviews will be conducted remotely to ensure that your FMS continues to operate in conformity with ISO 41001.



## Status

It is essential that your organization continues to maintain and update, as appropriate, its FMS as part of its commitment to continual improvement. Annual surveillance reviews and External Audits will be used to check that your FMS remains in conformity with ISO 41001.

As part of its annual surveillance reviews and external auditing, FMS Audit will require evidence of performance monitoring and the reporting of any nonconformity and corrective actions that have been necessary or which remain outstanding.

Corrective actions and any changes to the FMS should be recorded using the applicable form, which include the Change Log, Issues Log, Training and Development Log and Lessons Learned.

## Audits

The following sub-sections outline the steps that should be taken when arranging and conducting Internal Audits.

### Internal Audit

#### *Purpose*

It should go without saying, but we shall remind you nonetheless, that you should already have appointed your Internal Auditor. This needs to be someone who is objective, balanced and precise (especially with the written word). This person can be anyone in your organization who possesses these attributes.

The Internal Auditor needs to verify that processes, expected practices and procedures are documented, implemented and understood. The Auditor should also require confirmation that each process, expected practice and procedure aligns with the specified requirements; in other words, the purpose is to ensure that the FMS is performing effectively and that the organization is demonstrating a commitment to continual improvement.

#### *Steps*

The following steps should be followed.

1. Establish the Internal Audit Program (see downloadable file for this purpose).

2. Plan the time, date and location of each Internal Audit.
3. Select the areas that you intend to audit now and in subsequent Internal Audits.
4. Ensure these areas are sufficiently representative (i.e. not confined to a narrow part of the FMS).
5. Compile an audit checklist (e.g. questions to ascertain the performance of those areas of the FMS selected for audit).
6. Undertake the Internal Audit, recording observations and making comments.
7. Formalize your findings on the Internal Audit Report (see also below).
8. Obtain feedback from those involved in the audit to capture any Lessons Learned. Make this available to the next Management Review Meeting.

### *Completing the online form*

You should already have downloaded the Internal Audit Report and related forms from the FMS Forms section in the Website and have noted the information that needs to be provided. A quick overview is given below.

- a) Procedures checked in the FMS Manual and the applicable sub-clauses (e.g. 8.1 Operational Planning and Control)
- b) Documents checked and cross-referenced to the applicable sub-clauses as given above (e.g. 8.1 Operational plan based on defined processes)
- c) Findings, drawing attention to any nonconformity and necessary corrective action (e.g. minor change to operational plan to reduce waiting time for reactive maintenance).

Once you have completed the above steps, you will be able to assess the performance and effectiveness of the FMS and pinpoint any areas or elements where changes are necessary. Similarly, FMS Audit will be able to determine the extent to which your Internal Audit has fairly and reasonably determined the performance and effectiveness of your FMS.

### *Accuracy in reporting*

It is essential that you are honest about the performance of your FMS and how it is supporting your organization. We recognize that you might still be involved in transitional arrangements to move your organization from where it was (i.e. your baseline) to where it needs to be.

No useful purpose is, however, served by painting a rosy picture when there are issues still to be resolved. It is normal to have to take some corrective actions. A professional, business-like approach is needed, where you identify and highlight areas of attention and issues. You can say what you plan to do to correct or resolve them. The all-important principle is to aim for continual improvement. Remember, the Plan-Do-Check-Act model is there to help, not hinder.

### *Supporting evidence*

The main difference between the downloadable Internal Audit Report form and the one which you fill-in online is that the latter needs to be accompanied by evidence to support the Internal Auditor's findings. This information is required to be uploaded with the online Internal Audit Report form and should typically comprise copies of documentation, including relevant forms previously downloaded and duly completed.

It is essential this information provides us with clear evidence of the performance of your FMS that is sufficient to determine whether or not satisfactory implementation and operation of the FMS has been achieved. Responses on the online form such as "OK" or "Everything is in order" are not sufficient evidence and will prevent us from confirming conformance with ISO 41001.

Please help us to understand how your FMS is performing and making a difference to your day-to-day operations.

## **Reviews**

The following sub-sections outline the steps that should be taken when arranging and conducting Management Reviews.

### **Management Review**

#### *Purpose*

It is essential that the Management Review is led by someone from your organization's top management. It cannot be the same person as the Internal Auditor. The need is for someone with authority to make high-level decisions and to take a balanced view of how the FMS is performing and supporting the development of your organization in meeting its goals and to make any necessary changes. Note that change generally involves the use of resources and so top management is where those decisions need to be made.

### *Gathering the facts*

The information required for Management Reviews should be collected ahead of the date of the Management Review Meeting to allow evaluation and distillation of the facts. The Management Review Meeting is where the results of Internal Audits and Management Reviews are discussed. Emphasis should be placed on facts and include the following.

1. Minutes from previous Management Review Meetings.
2. Status of the FM objectives, FM strategy, FM policy and targets.
3. Results of Internal Audits.
4. Results of Management Reviews.
5. Extent to which the FM objectives and targets have been met.
6. Suitability and effectiveness of any proposed changes to the FMS.
7. Impact of new or proposed legislation or regulations.
8. Changing expectations and requirements of key stakeholders.
9. New or modified processes, activities, products or services.
10. Advances in technology and management practices.
11. Market for facility management (where applicable).

As in the case of Internal Audits, it is essential that you are honest about the performance of your FMS and how it is supporting your organization and, in turn, the demand organization.

### *Completing the forms*

You should already have downloaded the Management Review and related forms from the FMS Forms section in the Website and have noted the information that needs to be provided. A quick overview is given below.

- a) Identify the area of your facility management (e.g. a specific service or contract) to be reviewed to understand the performance of your FMS.
- b) Assess the appropriateness of the FM objectives and FM policy as they apply to the identified area of your facility management and the effectiveness of the expected practices and procedures.
- c) Discuss any gap in performance and agree the need for changes required to your Facility Management System as part of the organisation's commitment to continual improvement.

It is essential the above information is sufficient to determine if the implementation, operation and use of the FMS is satisfactory. Responses on the online form such as “OK” or “Nothing to report” do not constitute sufficient evidence and will prevent us from confirming conformance with ISO 41001.

Please help us to understand how your FMS is performing and making a difference to your day-to-day operations.

### *Management Review Meetings*

A form is available for setting the agenda of Management Review Meetings. Minutes of those meetings should follow the format of the agenda to aid cross-checking when evidence is submitted in support of an Internal Audit. Approved minutes of Management Review Meetings should be used to inform the next Internal Audit as well as subsequent areas for Management Review.

# NOTES