

CQI/IRCA ISO 14001 LEAD AUDITOR COURSE

(ENVIRONMENTAL MANAGEMENT SYSTEMS)



Overview

The aim of this course is to provide delegates with the knowledge and skills required to perform first, second and third-party audits of environmental management systems against ISO 14001, in accordance with ISO 19011 and ISO 17021, as applicable.

Objectives of Course

Delegates will, at the end of the course be able to:

- Explain the purpose of an environmental management system and the business and societal benefits of improving environmental performance
- Explain the role of an auditor to plan, conduct, report and follow up an environmental management system audit in accordance with ISO 19011
- Plan, conduct, report and follow up an audit of an environmental management system to establish conformity (or otherwise) with ISO 14001 and in accordance with ISO 19011.

Course Duration

5 FULL DAYS

MON	TUE	WED	THU	FRI
9am- 5pm	9am- 5pm	9am- 5pm	9am- 5pm	9am- 5pm

Assessment

To be successful on the course delegates must:

- Complete/attend all elements of the course
- Pass the continuous assessment (focused on the three learning objectives)
- Pass the written examination (focused on the three learning objectives).

Prerequisite Courses

Delegates are expected to have the following prior knowledge:

1. ISO 14001:2015 Foundation (EMS)

2. Management systems

- The Plan, Do, Check, Act (PDCA) cycle
 - The core elements of a management system and the interrelationship between top management responsibility, policy, objectives, planning, implementation, measurement, review, and continual improvement.

3. Environmental management- The intended outcomes of an environmental management system:

- Enhancement of environmental performance
- Fulfilment of compliance obligations
- Achievement of environmental objectives.

4. ISO 14001- Knowledge of the requirements of ISO 14001 and the commonly used environmental management terms and definitions, as given in ISO 14001, which may be gained by completing a CQI and IRCA Certified ISO 14001:2015 Foundation (EMS) training course or the equivalent.



DETAILED COURSE OUTCOMES

Delegates will as a minimum, come out of the course able to do the following:

1

Explain the purpose of an environmental management system and the business and societal benefits of improving environmental performance.

- Explain the purpose of an environmental management system and the business and societal benefits of improving environmental performance
- With reference to ISO 14001:
 - Explain the Plan-Do-Check-Act framework and its application to environmental management processes
 - Explain the interrelationship between Management Responsibility, Environmental Policy, Environmental Planning, Implementation of Policy, Operational Control, Checking of Performance, Management Review and Continual Improvement.
 - Explain the terminology defined in the standard
 - Explain the difference between legal compliance and conformance with the standard
- Explain the purpose of and differences between first-party, second-party and third-party certification audit of management systems, including the role of the EMS auditor in evaluating an organisation's capability to protect against, reduce the likelihood of occurrence of, prepare for, respond to and recover from disruptive incidents when they arise
- Explain the benefits of third-party accredited certification of environmental management systems for organisations and stakeholders.



2

Explain the role of an auditor to plan, conduct, report and follow up an environmental management system audit in accordance with ISO 19011 (and ISO 17021 where appropriate)

- Audit process: Explain the audit process, making reference to similarities and differences in the process between first-party, second-party and third-party certification audit, including:
 - Determining audit objectives, the purpose and significance of the audit scope and criteria
 - Resourcing the audit, the importance of auditor and team competency and the selection of team members, particularly with regard to knowledge of the relevant management system discipline, industry sector, regulations and legislation, and auditor training
 - Outline different audit methods; including on-site and remote audits and audit activities requiring human interaction and no human interaction.
 - The purpose of a stage 1 audit, including the documentation review, and describe a typical stage 1 audit process and outputs
 - Preparing for a stage 2 audit, including preparing an audit plan
 - Conducting on-site audit activities, including preparing working documents, conducting audit meetings, gathering audit evidence, preparing and approving and distributing the audit report, and conducting the audit follow up.
- Auditor responsibilities.
 - Describe the roles and responsibilities of the audit client, auditors, lead auditors, auditees, guides and observers
 - Explain the management responsibilities of the lead auditor in managing the audit and the audit team
 - Explain the need for effective communication with the auditee throughout the audit process
 - Explain the need for auditor confidentiality
 - Outline the content and intent of the IRCA code of conduct.



Plan, conduct, report and follow up an audit of an environmental management system to establish conformity (or otherwise) with ISO 14001 and in accordance with ISO 19011 (and ISO 17021 where appropriate)

- Planning the audit
 - Establish that the scope, objectives, criteria, duration and resources for an audit are appropriate
 - Prepare an on-site audit plan that is appropriate, above and the organisation's context and processes
 - Perform document review in preparation for the audit and prepare the necessary work documents, such as an audit checklist, sampling plan and forms.
- Conducting the audit
 - Demonstrate the ability to manage meetings effectively
 - Demonstrate the ability to implement the audit plan, use work documents and to follow audit trails
 - Demonstrate the ability to build rapport with the auditee during the audit, including sensitivity to the needs and expectations of the auditee
 - Demonstrate the ability to manage audit interviews effectively, including the ability to formulate effective audit questions
 - Demonstrate the ability to collect and verify appropriate audit evidence, including appropriate sampling.
- Auditing environmental management system requirements
 - Evaluate the auditee's environmental management Policy and Objectives: established by management to reflect the nature, scale and scope of the organisation; communicated by management; responsibility and authority for achieving policy and objectives have been established through adequate competent resources.
 - Evaluate the auditee's process for review of activities, products and services in order to establish the Environmental Aspects appropriate to the scope of the organisation and assess completeness of the outcome.
 - Verify that environmental aspects are examined for planned and new developments within the organisation as well as those external to it over which it can have an influence.
 - Evaluate the auditee's process for identifying and keeping up to date the Environmental Legislation related to its environmental aspects; analysis of how it effects the organisation operations and what has to be done to establish legal compliance.
 - Evaluate the auditee's process for assessing its environmental aspect to determine those with a Significant Impact on the environment and their relative importance.

- Verify that environmental Objectives and Targets are consistent with the environmental policy; the signification environmental impacts of the organisation, reflect legal requirements, views of interested parties, technological options and business needs.
- Evaluate the effectiveness of the action plans with means and time-scales that constitute the Programme(s) to reflect the objectives and targets established to achieve required continual improvement.
- Verify that Operational Controls associated with significant environmental aspects meet specified conditions including operating criteria and where appropriate these are adhered to by suppliers and contractors.
- Verify that adequate Emergency Plans are established to prevent or mitigate adverse environmental impacts associated emergency situations and accidents and that these are practiced and performance is evaluated.
- Confirm that the auditee's state of Legal Compliance is periodically evaluated based on objective evidence from internal audit, etc.
- Review arrangements for Monitoring and Measurement performance of operations with significant environmental impact.
- Evaluate the process of Management Review of environmental performance and the suitability, adequacy and effectiveness of environmental policy and objectives in driving improvement based on systemic measurement and analysis of data.
- Evaluate capability for Continual Improvement including the effectiveness of methods for corrective and preventive action.
- Evaluate management commitment to the EMS.
- Generating audit findings
 - Demonstrate the ability to evaluate audit evidence to identify correctly conformity and nonconformity with requirements
 - Demonstrate the ability to prepare audit conclusions, including the extent of conformity of the management system, identification of positive audit findings in addition to nonconformity, and identification of potential risks and opportunities for improvement.
- Reporting the audit
 - Write and grade nonconformity reports correctly
 - Present audit conclusions and recommendations clearly to the auditee at a closing meeting.
- Following up the audit- Evaluate proposals for corrective action and differentiate between correction and corrective action.