

# CQI/IRCA ISO 14001 Lead Auditor Conversion 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:

- Describe the purpose of an environmental management system and of environmental management systems standards.
- 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).
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## Course Duration

3 full Days: Day 1: **9am- 5pm** | Day 2: **9am- 5pm** | Day 3: **9am- 5pm**

**Course Cost: £850 + vat**

## 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:

**Recommend prior knowledge:** FD113 ISO 14001:2015 Foundation (EMS)

### 1) 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.

## 2) Environmental management

The intended outcomes of an environmental management system:

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

## 3) 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 equivalent.

## 4) Management system audit

Knowledge of management systems audit is required through the satisfactory completion of a CQI and IRCA Certified (or the acceptable alternative) Lead Auditor Training course in another discipline. In addition, you must inform delegates who have not successfully completed a CQI and IRCA Certified (or acceptable alternative) Lead Auditor Training course in another discipline that they are unlikely to complete this 24 hour course successfully and will find the 40 hour ISO 14001:2015 Lead Auditor (EMS) Training course more appropriate.

## 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 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 role of the EMS auditor in assessing 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. 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).

**Skills are to be practised and tested through tasks and in real or simulated audit situations.**

### 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 to the 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 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 the auditee's environmental management **policy and objectives**, as established by management to reflect the nature and scale of the organisation; how successfully they are communicated by management; and that responsibility and authority for achieving policy and objectives has been established through adequately competent resources.
- 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 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.

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- Write and grade nonconformity reports correctly
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### Following up the audit

- Evaluate proposals for corrective action and differentiate between correction and corrective action.

