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Institute of Environmental
Management & Assessment

**INSTITUTE OF ENVIRONMENTAL
MANAGEMENT & ASSESSMENT**

**APPROVAL CRITERIA FOR INTERNAL EMS
AUDITOR COURSE**

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INTERNAL EMS AUDITOR COURSE

IEMA requirements for training course providers

INTERNAL EMS AUDITOR COURSE

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On completion of this course a student will have:

- Knowledge and understanding of EMS
- An understanding of EMS auditing
- Knowledge of the principles of auditing and an understanding of the internal audit process
- Knowledge of environmental legislation and regulation
- Knowledge of environmental aspects and impacts
- Knowledge of the remaining elements of an EMS
- Knowledge on future information and advice

Background

The Internal EMS Auditor course has been developed to meet the increasing demand for employees with auditing knowledge within business and industry. The course content has been structured so as to meet the principles of auditor training needs specified in ISO 19011; therefore it will be of particular use to those individuals responsible for the effectiveness and continual improvement of their organisation's EMS.

For those organisations planning to certify or register their EMS against a formal EMS standard, training of in-house employees offers potential benefits. The European Accreditation of Certification (EAC) have made it clear in their guidelines that external auditors will place a greater amount of reliance on internal audit findings based on a number of considerations, including effectiveness and auditability of the EMS, and whether the internal auditors have completed training in audit principles and processes.

This course offers real benefit to the delegate's organisation because it will equip the delegate with the ability to participate in an audit of the organisation's EMS to establish:

- whether it is efficient and effective;
- whether it meets the organisation's objectives and targets and links to environmental aspects & legal and other requirements;
- whether it meets the organisation's environmental policy;
- whether and how the EMS can be improved.

Course providers should note that emphasis during the course should be directed towards the effectiveness of the audit process rather than simply auditing against a particular EMS standard.

ASSESSMENT CRITERIA

Approval will be granted to those courses which meet all the course submission criteria established by the IEMA, in particular:

- the course is run to a high quality, over a period of three days (24 hours excluding breaks).
- fully covers the appropriate IEMA generic syllabus
- includes appropriate practical exercises/ interactive case studies
- encompasses a continuous assessment requirement and an end-of-course test relevant to the course content, or a post-course delegate project and an end of course open book test.

COURSE DETAILS

Aim	The course is aimed at those individuals within organisations who are responsible for the auditing of an EMS. It is designed to equip individuals with a working understanding of the EMS audit process and how it should be applied to their own organisation's EMS. The course will be practical and interactive to facilitate the delegates' learning experience and allow them to exercise their newly acquired skills.
Entry requirements	Delegates are not expected to possess a detailed level of knowledge of EMS and auditing prior to the course. As the audience for this course may vary widely, the course provider shall provide relevant pre-course work and/or information to each delegate, to ensure the delegate is aware of the standards required on the course, and to try to ensure no one is at a disadvantage during the course.
Duration	24 hours minimum excluding breaks and any examination (normally over a period of 3 days). The course should normally take place over a period of no more than three days and 24 hours minimum. It is possible to run the course over a period longer than three consecutive days, for example one day a week for three weeks. In requesting approval for this type of structure, the course provider must consult with the IEMA to ensure adequate: <ul style="list-style-type: none"> • coverage of the course syllabus • delegate continuous assessment • continuity between teaching days • control procedures
Tutor Competence	In addition to the existing procedures IEMA employ to ensure tutor competence, only tutors who have proven experience of internal auditing will be approved to deliver courses. (There is the additional generic requirement that tutors should have had experience in evaluating environmental issues and participating in or managing of an EMS).
IEMA Auditor Registration	All delegates who have successfully completed this IEMA approved course will gain credit towards an Application to the IEMA Environmental Auditor Registration. Those gaining more than 70% gain six points towards an Environmental Auditor Registration.

Practical Exercises

The Internal Audit Process should be explained to the delegates in a practical way, coupled with examples of the obstacles and issues arising at each stage of the audit process. This approach will give the delegates 'hands-on' experience in conducting the processes and protocol required during an audit, which they can then apply successfully to their organisation's EMS. Whenever possible, exercises should use systems and background of the host organisation or training facility.

The course provider is also encouraged to allow delegates to learn from each others experiences, for example by drawing on the experiences of delegates who:

- have been involved in other forms of audits, or
- have assisted or observed other audits – for example accompanying external auditors during an initial review of their organisation’s environmental impacts, or
- have completed environmental aspect and impact analyses of their organisations

NOTE: A practical approach to this course is regarded by the IEMA views as essential in preparing the delegate for the role of an Internal EMS Audits

Delegate Assessment

The course provider should develop a methodology for assessing delegate skills and include this in their submission to IEMA for assessment.

Examination or post-course project

The course provider has the option of providing an examination at the end of the course, and/or a post course project, which is evaluated, and an end of course open book test.

Examination

The option of the written test will assess how delegates have retained and understood the subject matter of the course. The test, based on the contents of the course syllabus, should be approximately 1 - 1.5 hours in duration and should normally comprise at least two parts:

- a. Multiple choice or short answer questions.
- b. Written essay style questions.

The test should be a test of understanding, not memory.

The course provider should mark the test papers. An IEMA external assessor will monitor marking and results during IEMA course surveillance visits.

Post Course Delegate Project

The option of the post course project will be based on a delegate undertaking and reporting on an internal audit for their own organisation, building on the knowledge gained during the course. Alternatively, the project may be based on an organisation that the course provider knows of, and allocates to the individual.

Assistance should be given to the delegates on what to include in the project report through the use of a pro-forma document containing key headings on what is expected in the finished project. The finished project must be completed within 30 days of the end of the course and should include:

- Brief description of the organisation with particular focus on the EMS; pertinent aspects and impacts and relevant environmental legislation. Include a copy of the organisation's environmental policy and related objectives and targets and relevant environmental legislation and any other requirements.
- The context for the internal audit and links to any other relevant management systems

- Annotated organogram to show the roles and responsibilities of the internal audit team, the EMS representative and links to key organisational functions
- A timetabled internal audit plan with particular emphasis on the delegate's audit responsibilities
- 2 examples of audit checklists and associated audit findings that the delegate has been directly involved in
- 2 examples of non conformance recording and procedure to follow these through to close out
- A section of an audit report that the delegate has either compiled or has had input to
- A discourse on how the audit findings will be used to enhance the EMS and address issues of continual improvement

Learning Outcomes

The learning outcomes for the Internal EMS Auditor course are generic; therefore course providers may weight sections appropriately to satisfy the needs of a particular audience. The course provider may submit one or more versions of the following courses for assessment:

- Generic Internal EMS Auditor course
- Internal EMS Auditor course for Quality professionals
- Internal EMS Auditor course for Environmental professionals

This choice allows the course provider to cater for a variety of audiences from different backgrounds. For example, quality professionals should receive a course based on the generic syllabus with the emphasis being placed on environmental aspects and impacts, whilst environmental professionals should receive a course where the emphasis should be placed on audit principles and processes.

If a course provider makes one course submission, they can deliver another tailored course at some future occasion as long as they submit to IEMA the new sections for assessment and explain the background of the target audience. By adopting a flexible approach to the course structure, a wide variety of individuals and organisations can be successfully catered for.

In-house courses

In-house courses may be of two kinds: a generic course from the course provider, or a course 'tailored' to the client's needs, using specific examples from the site(s) and systems.

Course providers delivering tailored in-house courses must spend at least one day on-site assessing the organisation prior to the course beginning looking at those specific client elements which will be incorporated into the course sequence. (This one day is not intended to include any time required to change the course text).

GENERIC LEARNING OUTCOMES FOR THE IEMA APPROVED INTERNAL EMS AUDITOR COURSE

Skills Level	INTERNAL EMS AUDITOR COURSE	Outcome
Basic knowledge of environmental issues relevant to the company. Should have responsibility for auditing the EMS		Candidates will have a understanding of EMS and how to internally audit them

Paragraph numbers correspond to those on the cross reference table provided for submission with documents. See Certification table for Internal EMS Auditor Course.

On completion of this course a delegate will have:

1.1 Introduction

- An understanding of the background and current practice of environmental management systems auditing from an organisational perspective
- An understanding of environmental risk management and the relationship to business practices
- A knowledge of the aims and objectives of EMS auditing as part of the overall EMS, and as part of internal control

1.2 EMS Auditing

- A clear understanding of the three levels of EMS auditing:
 - 1st party – internal, and links to 3rd party
 - 2nd party
 - 3rd party
- An introduction to the range of environmental audits which might comprise an internal audit programme, for example:
 - compliance (legal and organisation requirements)
 - technical
 - EMS
- An overview of the EMS internal auditing requirements within the standards (ISO 14001 and EMAS)
- An appreciation of the use of BS EN ISO 19011 ('Guidelines for quality and environmental management systems auditing').
- Knowledge of the links to QMS and other system audits
- An understanding of the EMS Certification requirements relating to the internal audit (as required by the latest national accreditation body and EAC guidelines)
- A thorough understanding of roles and responsibilities for the auditor, auditee and other key personnel
- Understand the relationship between the auditor and EMS representative.

1.3 The Principles of Auditing (BS EN ISO 19011)

This unit is a key component for those familiar with environmental issues but have little or no auditing experience. On completion of this unit a candidate will have a clear understanding of the principles and practice of auditing, including:

- Objectives and scope
- Auditor objectivity, independence and competence; professional care
- Audit criteria
- Audit programming; programming according to the environmental risk
- Audit evidence and findings relevant to environmental risk
- Reliability of audit findings and conclusions
- Reporting, including reporting of legal implications to senior management via EMR

1.4 The Internal Audit Process

This unit is a key component for those familiar with environmental issues but have little or no auditing experience - (emphasis to be placed on the effectiveness of the audit process). On completion of this unit a candidate will have a clear understanding of the internal audit process and understand the IA role in this process, including

- Initiating the audit
- Preparing and planning the audit
- Audit checklists (questionnaires) and protocols
- Carrying out the audit; (all areas to be linked to the case-study organisation)
 - Opening meeting
 - Collecting audit evidence
 - Interviewing skills
 - Observation skills
 - Audit findings
 - Prioritising issues
 - Closing meetings
- Audit reports and records
- Audit completion
- Audit follow-up

1.5 Environmental Legislation, Regulations and Other Requirements.

On completion of this unit a candidate will have an overview of the following.

Please note that only a brief overview is required.

- The context of legislation – what is it, where has it come from, its societal purpose
- Relevant national and international law, including
 - Planning Law (conditions and consents, EIA)
 - Air, Water, Land
 - Waste
 - Hazardous substances

- Environmental Assessment
- Eco - labelling (if required)
- IPPC
- The role of the regulators
- Legal aspects/responsibilities for auditors
- Understand what can comprise “other requirements” in an EMS context.

1.6 Environmental Aspects and Impacts

This unit is a key component for those familiar with auditing but have limited environmental experience. On completion of this unit a candidate will have an understanding of:

- How to identify activities/processes/products/services/materials and environmental aspects that the internal auditor may encounter.
- How to identify significant environmental aspects and impacts using appropriate risk assessment tools.
 - Evaluation/review of significance criteria
 - Identification and assessment of environmental risk
 - Concerns of interested parties
 - Spatial parameters, extent of organisation activity / impacts
 - Temporal parameters - historical impacts and future activities
- Continual improvement and legislative compliance
- Relationship of impacts to policy, objective and targets
- Implementation and operation
- The importance of biodiversity issues to business

1.7 Future information and advice

On completion of this unit a candidate will have information on:

- Legislation and environmental references
- Other Guidance e.g. publications, journals and on-line sources of help
- Sector Guidance
- Professional bodies, registration schemes, competent personnel, qualifications
- Future developments