

Implications for Environmental Auditing of the Revision of ISO 19011 An Opportunity?

Workshop
EMS National Forum 2008

Introduction

- ❖ Who are we?
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 - And you?

- ❖ Housekeeping
 - Breaks
 - Fire alarms

About Today's Workshop

❖ Workshop Aims

- Explain the process and reasons for revising the standard
- Consider potential content and structure of the revised standard
- Explore implications for environmental (management systems) auditors, both internal and external
- Identify benefits from the revision process

❖ Workshop Approach

- Initial presentation
- Syndicate exercise
- Discussion

Need for the revision

❖ ISO 19011:2002 guidelines for quality and environmental management systems auditing

- But now there are (or will be soon) management systems standards for:

- health and safety

- supply chain security

- food safety

- information security

- Energy management

- risk

- road traffic safety

- ship and marine technology

- quality for medical devices

- Auditing practices have moved on – work on 19011 started in the late 1990s

- Risk-based approaches, E-auditing, Integrated auditing

ISO standards revision process

- ❖ Standards have a specified lifetime, after which the ISO members are asked if they should be confirmed (stay as they are), revised or withdrawn
 - If a revision is needed, a New Work Item Proposal is developed. This includes an outline scope/design specification
 - The NWIP is circulated to ISO members for comment
 - The standard is allocated to a Technical Committee to oversee the revision.
 - The TC appoints a working group to do the work.

Process for 19011:2002

- ❖ This is not a straightforward process!
 - The original standard was developed by two committees – for Quality and for Environment. This meant it took twice as long to agree the content of the standard.
 - This time, there are many more committees interested in it, so just one has been given responsibility – TC176 for Quality
 - ISO has had to form a special liaison group so that the others are involved formally
 - The TC176 Working Group 16, which will do the work, is a Joint Working Group, with experts from all the disciplines involved.

The story so far....

- ❖ WG16 met first in May this year, and developed an internal design specification, based on the NWIP and the comments received:
 - the revised document will remain a guidance standard;
 - it will be compatible and consistent with ISO 17021 and management systems standards and guides; and
 - the proposed structure will include:
 - Principles and concepts;
 - Audit programme management;
 - Audit activities;
 - Guidance on determining competence, *including discipline-specific guidance*;
 - It may include illustrations and examples.
- ❖ Established a timeline for the revision process – to be completed early in 2011 (a 3 year programme)

Scope of the standard

- ❖ “This International Standard provides guidance on the principles of auditing, managing audit programmes, conducting management system audits, as well as guidance on the competence of those involved in the audit process including audit programme management, auditors and audit teams.
 - It is applicable to all organizations needing to conduct internal or external audits of management systems or to manage an audit programme.
 - The application of this International Standard to other types of audit is possible in principle, provided that special consideration is paid to the identification of the specific competencies needed.”

Latest development

- ❖ WG16 met again in October – it reviewed progress made by task groups:
 - auditor competence - principles of auditing
 - risk-based auditing - process-based audits
 - integrated audits - e-auditing
- ❖ The outputs have been assembled into a working draft
- ❖ Many of the amendments are relatively minor – incorporating some additional text and examples/help boxes
 - distinguishing between internal and external audits
 - adding new concepts – integrated audits, e-auditing, etc
 - main text revised to be generic – i.e. applies to all disciplines
 - major modifications to competence and competence evaluation

Auditor competence

- ❖ New definition of competence
 - Changing the emphasis of section 7.2 from “personal attributes” to the more positive “auditor attributes”
 - Modifying the approach to evaluating auditor competence, replacing the overly-prescriptive criteria in Table 1 with examples of competence evaluation criteria, in an expanded Table 3
 - Restructuring section 7 to address competence from a generic perspective (i.e. does not include specific competences for the various management systems standards).
- ❖ But! - Importantly, discipline-specifics will be addressed in annexes. Draft annexes were prepared for auditor competence for Q,HS & E management system auditors, with expanded guidance on the requirements for knowledge and skills for environmental management systems auditors

What would you do next?

❖ Two syndicate groups to consider:

1. Attributes of auditors

- How important are attributes in allowing auditors to apply their knowledge and skills?
- Should an auditor be subject to an appraisal of his/her attributes?
- Can auditor effectiveness be evaluated without considering attributes (to avoid potential labour law conflicts)?

2. Competence evaluation criteria, for assessing potential ability to apply knowledge and skills

- Is this a suitable test?
- Should indicators be quantified?
- What is the minimum set of indicators?

1. Attributes of auditors

The attributes in ISO 19011:

- ❖ ethical, i.e. fair, truthful, sincere, honest and discreet;
- ❖ open-minded, i.e. willing to consider alternative ideas or points of view;
- ❖ diplomatic, i.e. tactful in dealing with people;
- ❖ observant, i.e. actively aware of physical surroundings and activities;
- ❖ perceptive, i.e. instinctively aware of and able to understand situations;
- ❖ versatile, i.e. adjusts readily to different situations;
- ❖ tenacious, i.e. persistent, focused on achieving objectives;
- ❖ decisive, i.e. reaches timely conclusions based on logical reasoning and analysis; and
- ❖ self-reliant, i.e. acts and functions independently while interacting effectively with others.

Are any others needed?

2. Competence evaluation criteria – what is the ISO 19011:2002 approach?

Areas of competence	Step 1 Personal attributes, and knowledge, skills	Step 2 Evaluation criteria
Environmental management methods and techniques	Ability to understand methods for evaluating environmental performance.	Completed training in environmental performance evaluation.
Environmental science and technology	Ability to understand how the pollution prevention and control methods used by the organization address the organization's significant environmental aspects.	<u>Six months</u> of work experience in pollution prevention and control in a similar manufacturing environment.
Technical and environmental aspects of operations	Ability to recognize the organization's environmental aspects and their impacts (e.g. materials, their reactions with one another and potential impact on the environment in the event of spillage or release). Ability to assess the emergency response procedures applicable to environmental incidents.	Completed an in-house training course on materials storage, mixing, use, disposal and their environmental impacts. Completed training in the Emergency Response Plan and experience as a member of the emergency response team.

Not a comprehensive set of evaluation criteria – what about sector-specifics, resource efficiency, communicating, knowledge of management systems?

Your tasks

- ❖ Both groups have 20 minutes to complete the tasks – so get started!
- ❖ Decide at the outset who will co-ordinate your work and deliver your feedback
- ❖ If you have time, think of some questions for the other group
- ❖ Each group will have 5 minutes for feedback, leaving us with 10-15 minutes for discussion

Conclusions

- ❖ What have we learned – findings of the syndicate groups?
- ❖ ISO19011 provides helpful guidance for environmental management systems auditors and other environmental auditors
- ❖ The ongoing revision should strengthen/improve this guidance
- ❖ The Environmentalist/IEMA EMS SIG will keep you informed of developments – and you can participate via the SIG.

www.iema.net/sigs

Thank you for your contribution

Please don't forget to complete and return the
feedback form