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# **ISO 14001**

## **Internal Auditor Training**



## **Trainer's Guide**

# Overview

These course materials are meant to train people to conduct internal environmental audits within your organization, which are necessary to meet the internal audit requirements of the ISO 14001:2004 standard.

The course is divided into two sections:

1. The first section will familiarize the students with the requirements ISO 14001 environmental management system.
  - Allow 4 hours for this section.
2. The second section is devoted to the auditing process. The students will go through all the steps required for an audit, with hands on involvement in performing each step by conducting a mock audit of a fictitious company.
  - Allow 8 hours for this section.

This guide contains everything the instructor needs to lead the class. **We recommend that you print this guide** as you'll need the PowerPoint speaker notes to lead the class.

## **Notes:**

- It is assumed that the instructor has certified Lead Auditor credentials or equivalent experience. This is not meant as a self study course.
- It is recommended that the first audit the student is involved with be under the leadership of a lead auditor who has audit experience.

# Course Materials

The supplies you will need are:

- PowerPoint: **ISO 14001 Guide to Internal Audits** (included).
- PowerPoint: **Requirements of ISO 14001** (included).
  - A complete version with Speaker Notes is in this Trainer's Guide
- PowerPoint: **Steps of Internal Audit** (included).
  - A complete version with Speaker Notes is in this Trainer's Guide
- Student Manual (included).
  - Print one copy for **each student**
  - You may wish to have extra copies of the CPAR form
  - It includes reduced versions of all the PowerPoints
- The ISO 14001:2004 Standard (**NOT Included\***)
  - One copy for every 2-3 students.
  - Standards are available electronically from <http://www.14000store.com/BuyStandardsPage.aspx>

**\*The ISO 14001:2004 Standard is a copyrighted document and we are unable to include it.**

- Eco Toy Company (ETC) Documents and Records (included).
  - Print one copy for **each team** of two or three students.
  - See contents table (next page)

The purpose of the internal audit is to demonstrate that ETC is doing what the company says it does. Documents and records are required to prove that systems are in place. These copies are provided in the Eco Toy Company (ETC) Documents and Records file.

Pages 3 through 14 in ETC Documents and Records contain the documentation that makes up the introductory section of the ETC Environmental Management System. The remaining pages contain the ETC Documentation and Records required for the Internal Audit training.

# Eco Toy Company Documents and Records

Qty.	Documents and Records	# of Pages
1	Environmental Management System – EMS Manual ..... <i>Includes Organization Chart and Master Document List</i>	12
1	Internal Audit Master Schedule .....	1
1	MSP-431 Environmental aspects procedure .....	2
1	Form #431-1 Initial environmental review .....	2
1	Form #431-1 Environmental assessment worksheet .....	2
1	WI-EP-1, WI-EP-2, WI-EP-3 Environmental programs .....	3
1	MSP-442 Competence, training and awareness procedure .....	3
1	Form #442-2 Job interview evaluation worksheet .....	1
2	Form #442-3 Personnel training / evaluation record .....	2
2	Certificate of completion .....	2
1	Form #442-4 employee capability – competence matrix.....	1
1	MSP-453 Nonconformity, corrective and preventive action .....	3
1	R-451 Nonconformity register .....	1
1	Form #443-1 Public response report .....	1
2	Form #447-1 Spill investigation report .....	2
1	Form #453-1 Environmental non-conformance report .....	2
1	Form #453-2 Corrective action report –operations .....	1
1	MSP-460 Management review procedure .....	2
1	Form #460-1 Meeting agenda - management review .....	1
1	Minutes of management review .....	2

# Agenda

## I. The Standard

Introduction to auditing

0:15 Presentation: 14001 Internal Auditing Guide

0:15 Review Document: ISO 14001:2004

0:30 Exercise – Is it a requirement?

2:00 Presentation: Requirements of ISO 14001:2004

0:45 Exercise - Find the requirement

0:15 Questions

## II. The Audit

0:30 Scheduling the audit

0:30 Planning the audit

0:45 Opening meeting

0:45 Audit 4.2 Environmental policy

0:45 Audit 4.3.1 Environmental aspects

0:45 Audit 4.4.2 Competence, training and awareness

0:45 Audit 4.5.3 Nonconformity, corrective action and  
preventive action

0:45 Audit 4.6 Management review

0:30 Auditors Document the Findings

0:30 Final Audit Report

0:30 Closing Meeting

0:30 Creating the Audit File

# The Standard

## Introduction to Auditing

This section will familiarize the students with the requirements ISO 14001:2004 environmental management system (EMS).

1. Review the “**ISO 14001 Internal Auditing Guide**” Power Point Presentation with the group.
2. Review and discuss the organization of the ISO 14001:2004 document so the students can familiarize themselves with how the standard is structured.
3. Complete the exercise “Is it a Requirement?”



### **Exercise:** Is it a Requirement?

Have the students open to “**Is it a Requirement**” in the student manual. Working in groups of 2 or 3, have them determine whether or not:

- The statement is true or false
- Write down the clause of the standard where they found it.

### **Notes:**

- This is not a test, but an exercise to get them familiar with the standard, so the trainer can go around and help the teams, particularly the slower teams.
- This can be done individually ahead of time to reduce class time

After one or two teams finish, or after a maximum of about 45 minutes, you can go through the statements and discuss the answers.

- An answer key is on the next page.
- Remind the students that there are some things that are mentioned in more than one place in the standard, so there could be more than one correct answer in some cases.

## Is it a Requirement? *(Answer Key)*

<b><i>The standard requires that:</i></b> If the requirement is true, circle True and list the clause. If it is false, circle False and list the clause used.	<b>True</b>	<b>False</b>
1. The ISO 14001 Environmental management system (EMS) must be established, documented, implemented and maintained to continually improve the system	T <i>Clause:4.1</i>	F <i>Clause:</i>
2. The environmental policy as defined by top management is required to be communicated to all persons working for or on behalf of the company.	T <i>Clause:4.2.f</i>	F <i>Clause:</i>
3. Top management must appoint a representative to ensure that the EMS is established, implemented and maintained.	T <i>Clause:4.4.1.a</i>	F <i>Clause:</i>
4. The management representative is not required to report on the performance of the EMS to top management.	T <i>Clause:</i>	F <i>Clause: 4.4.1.b</i>
5. Internal and external communication regarding environmental matters must be maintained.	T <i>Clause:4.4.3</i>	F <i>Clause:</i>
6. Management must review the environmental management system every quarter.	T <i>Clause:</i>	F <i>Clause:4.6</i>
7. A written procedure is needed to identify the environmental aspect(s) of the company activities and to determine the aspect(s) that have significant impact(s) on the environment.	T <i>Clause:4.3.1</i>	F <i>Clause:</i>
8. Persons performing tasks for the company or on behalf of the company that may have potential environmental impacts must be competent.	T <i>Clause:4.4.2</i>	F <i>Clause:</i>
9. Employee training must include the awareness of the consequences of departure from specified procedures.	T <i>Clause:4.4.2.d</i>	F <i>Clause:</i>
10. The scope of the environmental management system is required to be defined and documented.	T <i>Clause: 4.1 4.4.4.b</i>	F <i>Clause:</i>
11. A documented procedure is required to deal with actual and potential nonconformities and taking corrective and preventive actions.	T <i>Clause:4.5.3</i>	F <i>Clause:</i>
12. A documented procedure is required to handle emergency preparedness and response.	T <i>Clause:4.4.7</i>	F <i>Clause:</i>
13. The results of corrective and preventive actions taken do not need to be recorded.	T <i>Clause:</i>	F <i>Clause:4.5.3.d</i>
14. An operational procedure may be required to ensure that monitoring and measuring equipment is calibrated.	T <i>Clause:4.5.1</i>	F <i>Clause:</i>

# ISO 14001:2004 Requirements

Now that the students are familiar with the organization of the standard, this section will outline ***the requirements*** of each section – what it is really asking them to do?

## **Requirements of ISO 14001:2004** Power Point presentation

First, there is a brief 6-page introduction to serve as a review:

- What is ISO 14001?
- The Process Model/Process Approach

Second, the rest of this presentation outlines the requirements of ISO 14001.

- If you use the speaker's notes this review could take about 2 hours
- Students can take notes in their manual.
- We've included the presentation in this Trainer's Guide so you can review the notes while presenting.

1. Review "**Requirements of ISO 14001:2004**" Power Point presentation
2. Complete the exercise "Find the Requirement" (following presentation speaker notes.)
3. Answer questions about ISO 14001:2004 to ensure they understand the material.



## **Exercise:** Find the Requirement.

1. Introduce the 2nd exercise "**Find the Requirement**" in the student manual.
2. Have them find the clause in the standard that applies.
3. Have them work in groups as in the previous exercise.
4. Discuss the answers together.

To conclude this first section of the course, open it up to questions and answers on the standard.

## **ISO 14001 Requirements – A Process Approach**

**Requires that your interrelated processes are controlled and managed for continual improvement.**

- The ISO 14001 Standard is based on PDCA, the Plan-Do-Check-Act continual improvement cycle.
- The standard is designed to follow a process approach to management.
- The two methodologies are compatible in ISO 14001.

**+ *More details in speaker notes ..***

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### **+ *More details ..***

A process management approach requires that processes are controlled and managed to obtain planned results and to continually improve these processes and activities that may have an impact on the environment.

With the PDCA continual improvement approach, the ISO 14001:2004 standard is designed to lead your company to follow a process management approach for your environmental management system.

## **PDCA Approach**

### **P-Plan**

Establish the objectives and processes needed to deliver the results in line with the Environmental Policy.

### **D- Do**

Implement the needed processes.

### **C- Check**

Check the processes against the environmental policy, objectives, targets, regulations, and report on the results.

### **A-Act**

Take actions that will continually improve the EMS.

## 4.2 Environmental policy

- Within the scope of the EMS, Top Management must establish the Environmental Policy that is appropriate to the organization.
- All employees need to know what this policy says, and how their jobs help support the Environmental Policy.

+ *More details ..*

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### + *More details ..*

The environmental policy states what an organization is working towards.

It defines commitment to environmental.

All employees should know what their role is in meeting the environmental policy.

Employees should know how their jobs contribute to meeting the company's environmental policy

### **ENVIRONMENTAL POLICY**

For example:

The environmental policy:

YOUR COMPANY Environmental Policy is to protect, utilize, and manage our natural resources in order to prevent pollution and to continually improve the air we breathe, the water we drink, and the earth we inhabit.

The environmental objective:

YOUR COMPANY is committed to satisfying any interested party with excellence in environmental performance that comply consistently with current legislation and regulations, at the best possible cost and delivered on a timely basis.

The President is responsible to ensure that the Environmental Policy provides the framework for managing the needs of any interested party and stakeholder.

The Environmental Policy and Objectives are communicated to all persons working for or on behalf of the company.

## Find the Requirement

	<i>Clause:</i>
19. Current versions of documents must be available at the relevant points of use.	4.4.5.c.d
20. Have a system to monitor on a regular basis the key characteristic that can have a significant impact and ensure that monitoring and measuring equipment is verified, calibrated and maintained.	4.5.1
21. Responsibility and authority of personnel are defined, documented and communicated.	4.4.1
22. Operational procedures for situation where their absence could lead to deviation from planned arrangements.	4.4.6.a
23. Review the environmental system at planned intervals and take into consideration a set of inputs with resulting outputs.	4.6
24. Resources need to be available to establish, implement, maintain and improve the EMS.	4.4.1
25. Environmental programs with objectives and targets at the relevant functions and levels within the organization.	4.3.3
26. Document a procedure to deal with actual and potential nonconformity and taking corrective action and preventive action.	4.5.3
27. Document a procedure to deal with potential emergencies and potential accidents and how to respond to them.	4.4.7
28. Periodic evaluation of compliance to the applicable legal requirements and other requirements to which the company subscribes.	4.5.2
29. Internal audits take into consideration the environmental importance of the operations and the results of previous audits.	4.5.5
30. The Environmental Management System documentation includes documents for the environmental policy, objectives, targets, scope, and other procedures and records necessary to ensure that it is effective.	4.4.4.a to 4.4.4.e

# The Audit

The second section is devoted to the auditing process. Normally the class size will vary from 4 to 12, and it is recommended that you divide the class into teams of 2-3. It works best to have an even number of teams for holding opening and closing meetings.

## **Allow 8 hours for this section.**

The students will go through all the steps required for an audit, with hands on involvement in performing each step by conducting an audit of a fictitious company, the Eco Toy Company (or ETC) including:

- Scheduling the Audit
- Planning the Audit
- Opening Meeting
- Audit sections of the ETC Company's EMS:
  - 4.2 Environmental Policy
  - 4.3.1 Environmental Aspects
  - 4.4.2 Competence, training and awareness
  - 4.5.3 Nonconformity, corrective action and preventive action
  - 4.6 Management review.
- Auditors Document Findings
- Final Audit Report
- Closing Meeting
- Creating the Audit File

**Note:** The trainer plays the part of Joe Sample, the ETC Quality Manager / EMS Management Representative and the students act as ETC personnel as required.

Each team should have:

1. A copy of the ISO 14001:2004 Standard.
2. A copy of the Eco Toy Company (ETC) Documents & Records.
3. The Student Manual which allows them to:
  - Follow the presentation and take notes
  - View sample forms (which are presented in the PowerPoint)
  - Use blank forms (CPAR, etc.) to conduct their audit.

You will lead this section using the "**Steps of ISO 14001:2004 Internal Audit**" Power Point presentation the entire time, using the materials in this package. The Speaker Notes in the PowerPoint will guide you along as an outline.

## ***Prepare the checklists:***

### **4.2 Environmental Policy**

- Read the procedure for Environmental Policy in the ETC Manual, section EMS-4.2
- Review the checklist for 4.2 in the student manual
- Write any additional question on the checklist that you would like to ask to verify that ETC is following their procedure

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When the students are ready to audit the first scheduled area for the ETC audit, let them ask questions of the trainer who will act the part of R. Smith, the ETC President.

Have the students turn their manual to the **Audit checklist for 4.2 Environmental policy.**

The students are now ready to audit Eco Toy Company's Environmental policy.

They should make all their notes on the checklist.

To audit, use the information in the Eco Toy Company documents and records:

- The ETC Manual section 2
- EMS-4.2 Procedure for Environmental policy
- Master Document List.
- Organization Chart in the manual

They should check the rest of the procedures in the manual, to see if they match the master list.

Have the students write down their questions on the checklist.

# Sample CPAR

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<b>P-D-C-A REPORT</b>	<input type="checkbox"/> CORRECTIVE ACTION REQUEST - CAR # _____ date _____
	<input type="checkbox"/> PREVENTION ACTION REQUEST - PAR # _____ date _____
Service/Product: _____ Part No. _____	
Problem Reported by: _____ Date _____	
Identification of Nonconformity	
<b>PLAN-DO-CHECK-ACT</b>	Resolution of nonconformity assigned to: Name: _____ Dept: _____
Evaluation: Analysis indicates actual cause of problem to be: _____	
<b>PLAN</b>	Actions Required:
	By Dept: _____ Promise date: _____
Use reverse side if required.	
<b>DO</b>	Actions Taken:
Actions Effective:	
<b>CHECK</b>	<input type="checkbox"/> Yes, <input type="checkbox"/> no...next follow-up date _____
	<input type="checkbox"/> yes, <input type="checkbox"/> no...next follow-up date _____
	<input type="checkbox"/> YES.
<b>ACT</b>	P-D-C-A Report is closed-out Actual Completion/Implementation Date: _____ EMS Review by: _____ Date: _____



In the student manual there are copies of the Corrective/Preventive Action Request.

- Have the students each write one nonconformance on a CPAR for each clause of the standard that they audited
- It should be different from the ones their teammates are writing. If they took good notes on the checklist this should not be difficult. (Remind them of that for future audits.)
- Emphasize the importance of being specific so those following up with the corrective actions know what they mean.

*What is the requirement, and what was the nonconformance?*

## **Nonconformances: 4.2 Environmental policy**

- The environmental policy has not been communicated to all persons working on behalf of the organization
- The environmental policy was not formulated by the top management
- The environmental policy is not aligned with the defined scope of the EMS
- The policy does not express commitment to compliance to legal and other requirements to which the organization subscribes to.

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### **Nonconformances: 4.2 Environmental policy**

- The environmental policy was not formulated by the top management
- The environmental policy is not aligned with the defined scope of the EMS
- The policy does not express commitment to compliance to legal and other requirements to which the organization subscribes to.
- The environmental policy has not been communicated to all persons working on behalf of the organization

# Conclusion

After the students have completed their presentations, you can:

1. Show them the final slides in the **“Steps of ISO 14001:2004 Internal Audit”** Power Point presentation outlining the non conformances for each section.
  - Remember, there is often more than one way to look at a situation, especially in a fictitious setting like ETC. Therefore, encourage open discussion on why they consider items a non conformance.
  - You may want to add their suggestions to the course material for next time.
2. If you feel that the student has satisfactorily understood the material, you may issue them a certificate (this is a separate MS Word file in your package). Use your judgment to issue this based upon:
  - Participation
  - Ideas
  - Leadership
  - Approach
  - Etc.
3. Schedule an audit of your facility to reinforce the material.

