



ISO 14001 LEAD AUDITOR
REFRESHER TRAINING
FOR ENVIRONMENTAL SPECIALISTS
KRISHNAJI PAWAR, LEED AP BD+C, GSAS CGP, ISO 14001:2015, GCP
ENVIRONMENTAL SPECIALIST CURRICULUM





AUDITING - AUDIT PLAN & PROCESS
FOR ENVIRONMENTAL PROFESSIONALS
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LEARNING OBJECTIVES

- Terms and Definitions
- Auditing Process
- Auditing Plan
- Auditing Process- Interview
- Non Conformity
- Report Preparation - Auditing Process



TERMS & DEFINITIONS



Audit	An audit is a systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which audit criteria are fulfilled
Objectives	The audit objectives define what is to be accomplished by the audit
Audit Criteria	Set of policies, procedures or requirements used as a reference against which audit evidence is compared
Audit Scope	The audit scope generally includes a description of the physical locations, organizational units, activities and processes, as well as the time period covered.

TERMS & DEFINITIONS



Audit Plan	Description of the activities and arrangements for an audit
Audit Program	Arrangements for a set of one or more audits planned for a specific time frame and directed towards a specific purpose
Audit Evidence	Records, statements of fact or other information which are relevant to the audit criteria and verifiable
Audit Findings	Results of the evaluation of the collected audit evidence against audit criteria

TERMS & DEFINITIONS



Audit client	Organization or person requesting an audit
auditee	An organization or person being audited
observer	<p>person who accompanies the audit team but does not audit.</p> <p>An observer is not a part of the audit team and does not influence or interfere with the conduct of the audit.</p> <p>An observer can be from the auditee, a regulator or other interested party who witnesses the audit.</p>

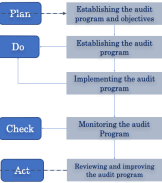
AUDITING PROCESS



1st Party	Internal audits – conducted by internal auditors
2nd Party	Supplier audits – conducted by organizational auditors on suppliers, manufacturers, contractors etc.
3rd Party	Certification Audits – conducted by 3rd Party certification bodies



AUDITING PROCESS

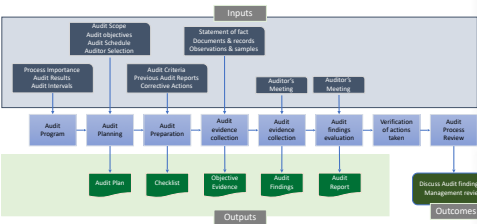


- Roles and responsibilities of the person managing the audit program
 - Competence of the persons managing the audit program
 - Establishing the extent of audit program
 - Identifying and evaluating the audit program risks
 - Establishing procedures for audit
 - Identifying audit program resources
- Define the objectives, scope and criteria of an audit
 - Selecting the audit methods
 - Selecting the audit team members
 - Assigning responsibilities
 - Managing audit program outcome
 - Managing and maintaining records

Competence evaluation of auditors

Performing and audit

AUDITING PROCESS +



AUDIT PLAN

Audit Reference:IA-01/2022

AUDITEE DETAILS

Date:22-11-2022

Organization/ Project Details

BEYOND SMART CITIES Organization

Focal Point/ MR:

Name

Designation

Mr. KRISHNAJI

EHS Manager

Audit Team

Lead Auditor

Auditor(s)

Observer

Paul (A)

John (B)

N/A

Audit Scope:

Project Site 123, Management System process, Construction , Inspection and Testing processes

Audit Criteria:

ISO 14001, OHSAS 18001

Sr. No

Activity

Date

Time

Auditor

1

Opening Meeting

10-12-2017

9:00 – 9:20

A+B

2

Management System processes

10-12-2017

9:20 – 12:20

A+B

3

Lunch Break

10-12-2017

12:20 – 13:00

A

4

Construction processes

10-12-2017

13:00 – 14:00

B

5

Inspection and Testing

10-12-2017

13:00 – 13:30

B

6

Document Control

10-12-2017

13:30 – 14:00

B

7

Auditor's meeting

10-12-2017

14:00 – 14:30

A+B

8

Closing Meeting

10-12-2017

14:30 – 15:00

A+B

AUDITING PROCESS – INTERVIEW (QUESTIONING)

Open Questions

ANSWERS

→

Probing Questions

ANSWERS

→

Closed Questions

FACTS

The sequence is generic.

Use the questioning techniques based on situations and criticality of the Processes and availability of time.

AUDITING PROCESS – INTERVIEW (QUESTIONING)

TYPE OF QUESTIONS	EXPLANATION	EXAMPLES	RISK / CAUTION POINTS
OPEN	Lead to wide range of answers – a chance for auditor to proceed further	Could you please explain the integrated system maintained here..?	May sidetrack the objectives and focus
PROBING	Based on the answers from open questions, probing or leading Qs. On those points of answer which are critical to the process	Do you discuss the QMS & its other issues in the Management Review Meetings, in detail..?	Auditee might go into defensive mood
CLOSED	Direct Qs. To get the answer– ‘YES’ or ‘NO’ – Revealing the final EVIDENCE or FACT	What authorities do you have as Head of Quality...?	Provide Very Limited Information

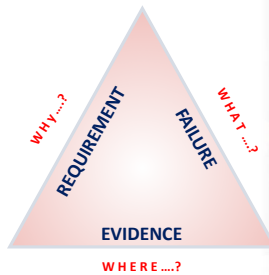
AUDITING PROCESS – INTERVIEW (QUESTIONING)

TYPE OF QUESTIONS NOT TO BE ASKED	EXPLANATION	EXAMPLES	RISK / CAUTION POINTS
INTERROGATIVE	Auditing is not interrogating like Police	Your Internal Auditors are not confident of their Jobs. Mr. don't you ever feel so, from your records of Internal Audit.?	This shall effect the relationship – auditee will go into defensive mood
SARCASTIC	Auditors are invited at the place of audit – has no right to criticize	Is this a Calibration Record ? Being so educated & experienced, you are doing calibration like this. ? It's Surprising	
CONFRONTING	Auditors has no right to confront with auditee – as auditors are visitors only with a positive & open mind	You said you would cooperate, but you are taking so much time in showing records... be fast.	
SHOOTING	Auditors shoot many Qs. at same time – not waiting for auditee to answer	Are you responsible for this process..?2. Do you authorize the reports..? 3.Did you attend previous MEM. 4. Are you one of the Internal Auditors..?	



NON-CONFORMITY

CONSTITUENTS
OF A
NONCONFORMITY



NON-CONFORMITY

CLASSIFICATION
OF
NONCONFORMITIES



NON-CONFORMITY



MINOR NC (NON-CONFORMITY)

"nonconformity that does not affect the capability of the management system to achieve the intended results"
(Source 3.13 of ISO 17021-1 :2015)

MAJOR NC (NON-CONFORMITY)

Nonconformity that affects the capability of the management system to achieve the intended results
(Source 3.12 of ISO 17021-1 :2015)

— if there is a significant doubt that effective process control is in place, or that products or services will meet specified requirements;
— a number of minor nonconformities associated with the same requirement or issue could demonstrate a systemic failure and thus constitute a major nonconformity.

OPPORTUNITIES FOR IMPROVEMENT

An OFI may be where strengths of the system might be further improved.(However a compliance is still being achieved).

(This is where a value addition comes in. Be careful it does not lead to consultancy).

AUDITING PROCESS – REPORT PREPARATION



AUDIT REPORT

The report shall contain the important issues of the complete audit :

- identification of the certification body/ auditing authority;
- the name and address of the client and the client's representative;
- the type of audit (e.g. initial, surveillance or recertification audit or special audits);
- the audit criteria;
- the audit objectives;
- the audit scope, particularly identification of the organizational or functional units or processes audited and the time of the audit;
- any deviation from the audit plan and their reasons;
- any significant issues impacting on the audit programme;
- identification of the audit team leader, audit team members and any accompanying persons;
- the dates and places where the audit activities (on site or offsite, permanent or temporary sites) were conducted;
- audit findings, reference to evidence and conclusions, consistent with the requirements of the type of audit;
- significant changes, if any, that affect the management system of the client since the last audit took place;
- any unresolved issues, if identified;

AUDITING PROCESS – REPORT PREPARATION



AUDIT REPORT

The report shall contain the important issues of the complete audit :

- where applicable, whether the audit is combined, joint or integrated;
- a disclaimer statement indicating that auditing is based on a sampling process of the available information;
- recommendation from the audit team
- the audited client is effectively controlling the use of the certification documents and marks, if applicable;
- verification of effectiveness of taken corrective actions regarding previously identified nonconformities, if applicable.

The report shall also contain:

- a statement on the conformity and the effectiveness of the management system together with a summary of the evidence relating to:
 - ✓ the capability of the management system to meet applicable requirements and expected outcomes;
 - ✓ the internal audit and management review process;
 - ✓ a conclusion on the appropriateness of the certification scope;
 - ✓ confirmation that the audit objectives have been fulfilled.