



ISO14001:2015

Internal Auditing

Garry Cornell 6 July 2017

Introduction



- Garry Cornell BSc MSc MIEMA CEnv
- 25 years experience in Environmental Management
- Environmental Associate for British Safety Council
- Previous roles:
 - Environmental Adviser - Ministry of Defence
 - Corporate Environmental Adviser – QinetiQ
 - Head of Environment – Stansted Airport
 - Environment Performance Manager – BAA
- 10 years as Certification Auditor (ISO14001 / OHSAS18001 / ISO50001)
- Last 2 years working freelance – auditing, training and consultancy
- Currently commissioned to write a book on ISO14001 implementation for Advisera (ISO14001 Academy) due out later this year



Presentation contents



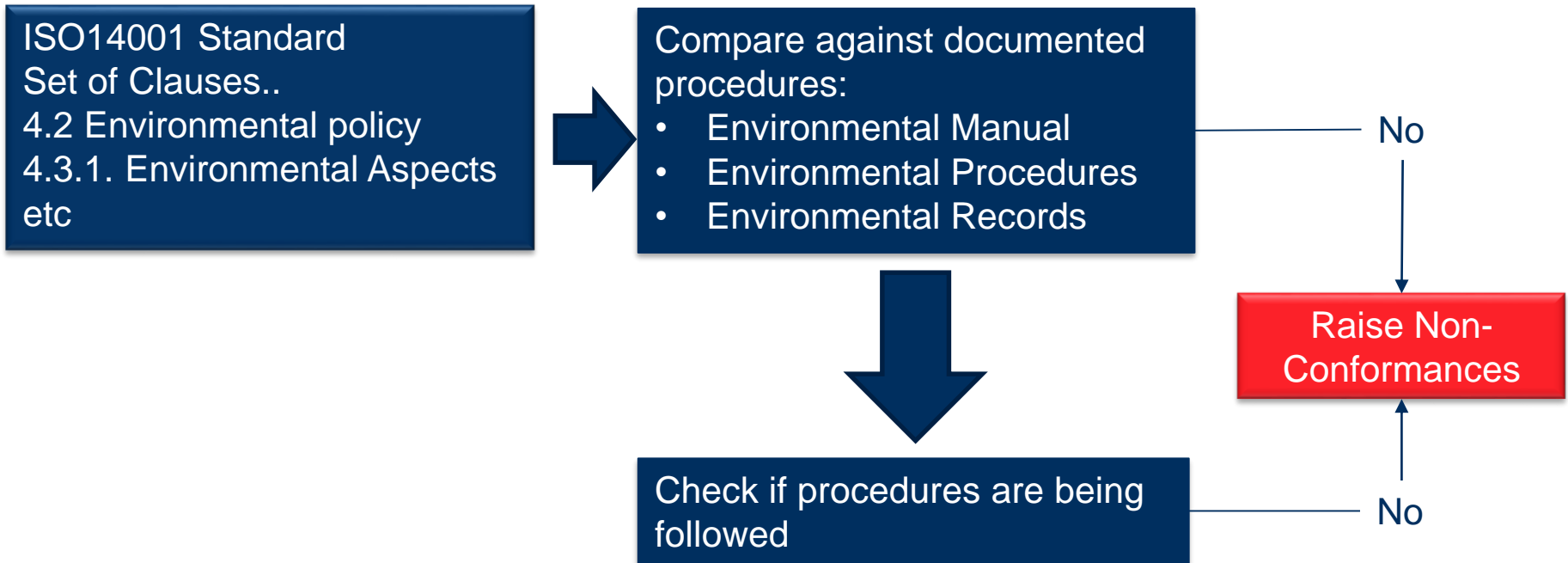
- Background to this approach
- What should an ISO14001 management system do?
- Difference between outcomes and mechanisms
- Planning your audit
- Auditing what's really happening
- Figuring out why it's happening
- What does this tell you about your ISO14001 management system?

Background



- Developed 15 years ago in response to business demand that audits add value
- Been used on audits in wide range of industry; oil and gas, manufacturing, engineering, construction, services, transport etc.
- Used currently by some leading international organisations

Traditional audit approach



Mandatory documents in 14001:2015



- Scope of the Environmental Management System 4.3
- Environmental Policy 5.2
- Procedure for Identification and Evaluation of Environmental Aspects 6.1.2
- Environmental Objectives and plans for achieving them 6.2.1
- Operational Control Procedures 8.1
- Procedure for Emergency Preparedness and Response 8.2

Revised audit approach



ISO14001 Standard
Set of Clauses..
4.1 Understanding the
organisation and its context
4.2 Understanding the needs
and expectations of interested
parties



Are there processes in place
that can be used to evidence
how the clause is being met

————— No
↓

**Raise Non-
Conformances**



Is there evidence (documents)
that this process is happening

————— No
↑

The results of having an ISO14001 management system:



- Protect the environment
- Meet compliance obligations
- Enhance environmental performance



ISO14001



Protect the Environment

Meet compliance obligations

Enhance environmental performance

- Pollution incidents
- Impacts from business activities
- Impacts from the use and disposal of products
- Impacts that suppliers have
- Impacts from the materials and resources used

Protect the Environment

Pollution Incidents

Business Activities

Use and disposal of product

Suppliers

Materials and resources

- Included into the policy
- Identify the pollution risks
- Put in place risk controls
- People (resources, competencies)
- Equipment (prevention)
- Controls (prevention)
- Emergency response (prevention)
- Clean-up response (mitigation)

ISO14001

Meet
compliance
obligations

Protect the
Environment

Enhance
environmental
performance

- Regulatory / legislative requirements
- Other requirements the organisation has to meet
- Other requirements the organisation has chosen to meet
- Needs and expectation of interested parties

Meet compliance obligations

Legal /
regulatory

Interested
parties

Other
requirements
has to meet

Other
requirements
chosen to meet

- Include in policy
- Identify current legal requirements
- Means to know what future legal requirements are
- Plan response to future legal requirements (objectives, plans etc.)
- People (resources, competency)
- Operational controls to maintain compliance
- Check that legal requirements are being met (compliance evaluation)
- Take actions to maintain compliance (corrective, preventative)

Difference between results and mechanisms to achieve the outcomes

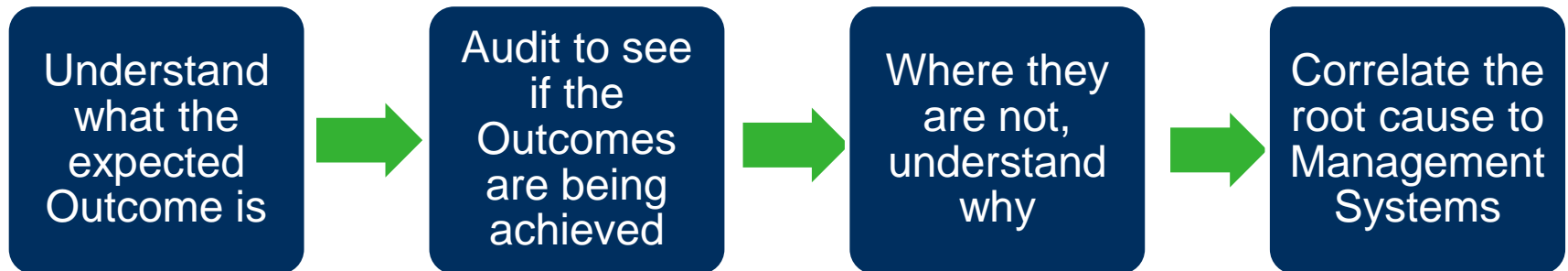


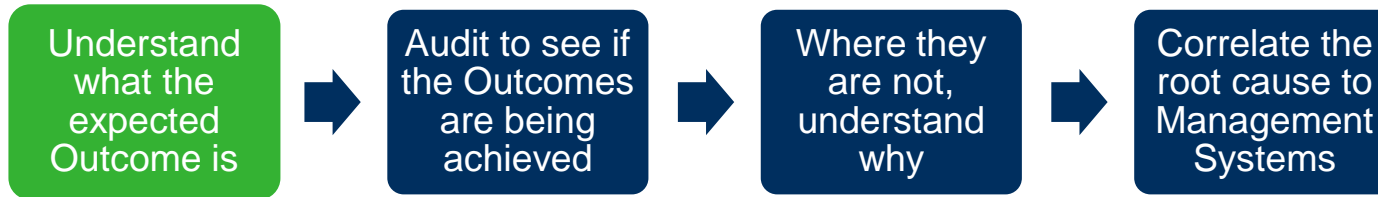
- Results are:
 - Protect the environment
 - Meet compliance obligations
 - Improve environmental performance
- Mechanisms are:
 - All the clauses that help to achieve the outcomes.
 - Each clause has a purpose!

Each clause has a purpose....



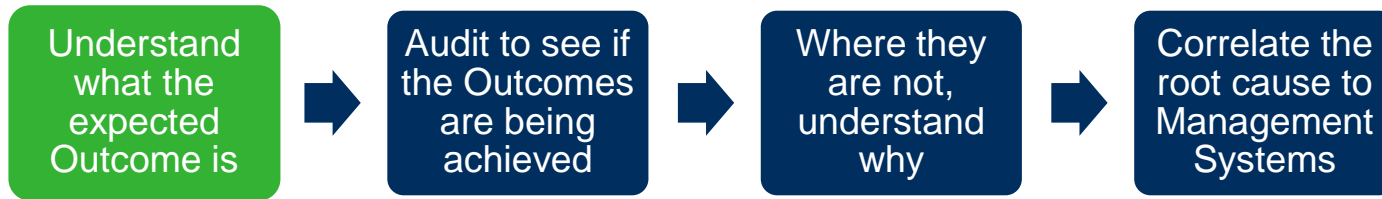
Auditing against the new standard





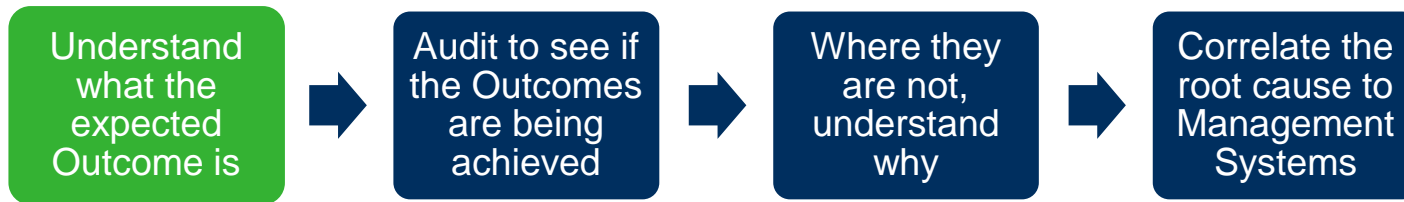
E.g. Competency and training outcomes:

- Management, staff and contractors are aware of the environmental impacts associated with their activities, and adequately trained and competent to fulfil their environmental responsibilities and tasks.



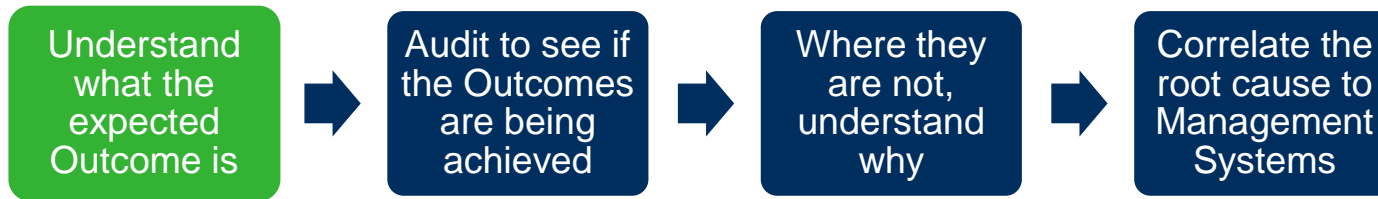
E.g. Emergency Planning Outcomes:

- Controls are in place to prevent emergency incidents from causing damage to the environment or conflicts with compliance obligations.

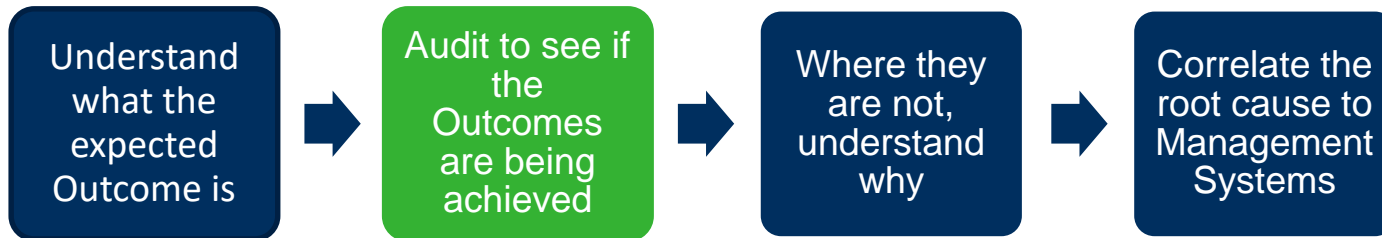


E.g. Inspection Outcomes:

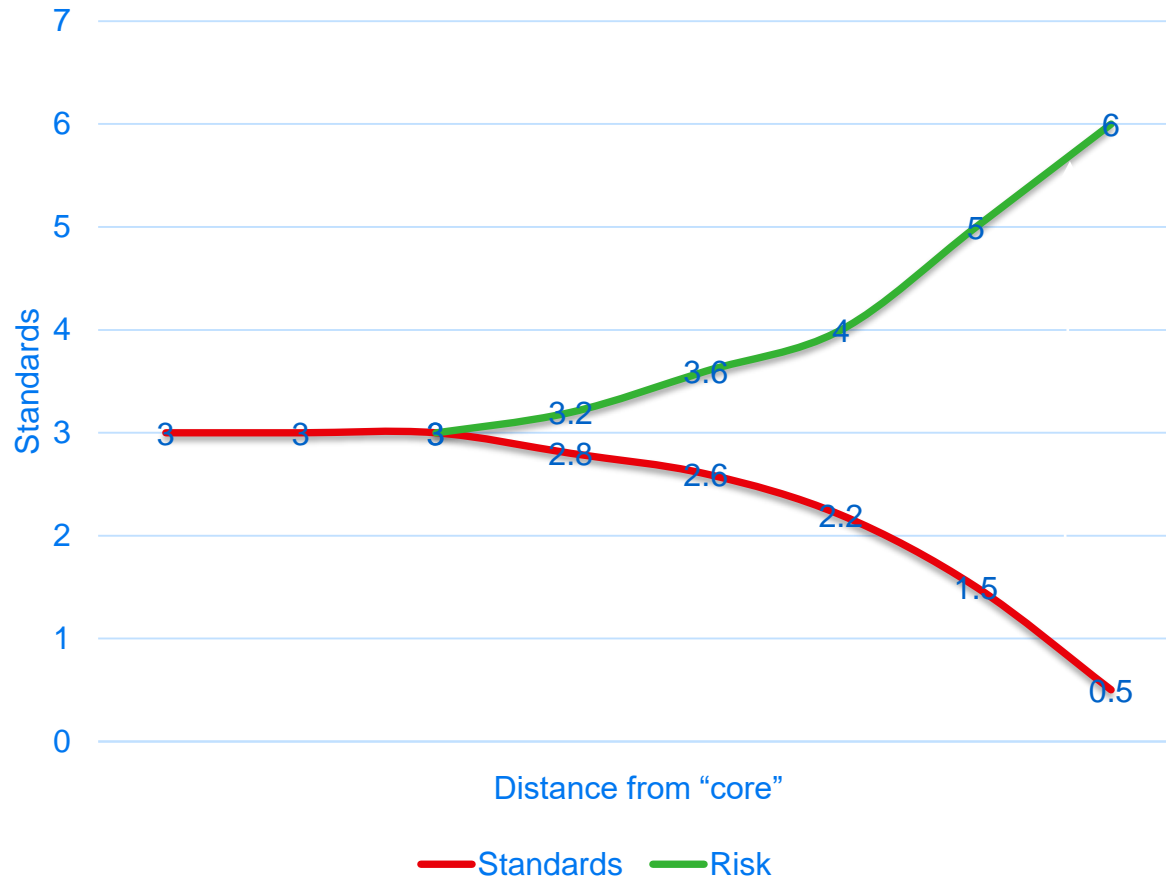
- Inspections are identifying and rectifying all environmental issues.



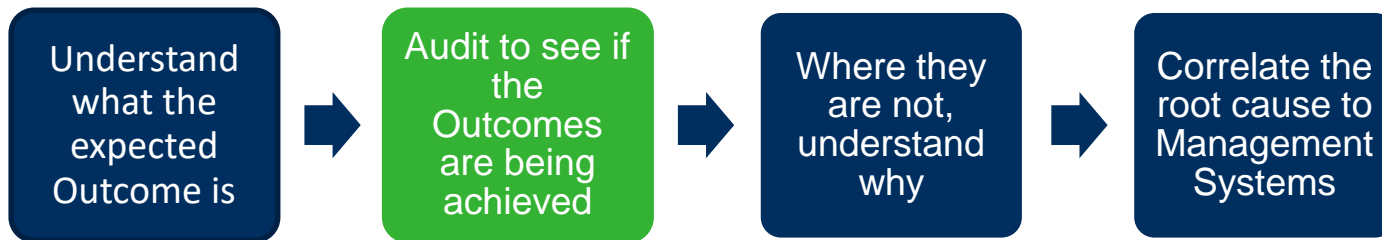
1. Define a set of expected outcomes for the process(es) you are auditing
2. Get agreement on these expected outcomes with management and auditee



1. Start with looking for evidence for and against the outcomes being achieved
2. Start at the periphery and work in
3. Identify factual examples
4. Ask questions about what you find – why, who, when, what...



Difference
between level of
risk and level of
control increases
further away from
the "core"
business



1. Start with looking for evidence for and against the outcomes being achieved
2. Start at the periphery and work in
3. Identify factual examples
4. Ask questions about what you find – why, who, when, what...



1. Capture each observed example of outcomes not being achieved
2. Understand what “should” have happened
3. Understand why it did not (Root Cause Analysis e.g. 5 Whys)

Bedingungen und Anforderungen des Unternehmens sind bekannt und verstanden.

Kommunikation ist ein zentraler Bestandteil der Zusammenarbeit.

Sicherheitsmaßnahmen und Unfallverhütungsvorkehrungen werden beachtet und kontrolliert.

Die Arbeit wird unter Berücksichtigung der Gesundheit der Mitarbeiterinnen und Mitarbeiter durchgeführt.

Die Mitarbeiterinnen und Mitarbeiter sind über die Aufgaben und Verantwortlichkeiten informiert.

Die Mitarbeiterinnen und Mitarbeiter sind über die Sicherheitsmaßnahmen informiert.

Die Mitarbeiterinnen und Mitarbeiter sind über die Unfallverhütungsvorkehrungen informiert.

Die Mitarbeiterinnen und Mitarbeiter sind über die Aufgaben und Verantwortlichkeiten informiert.

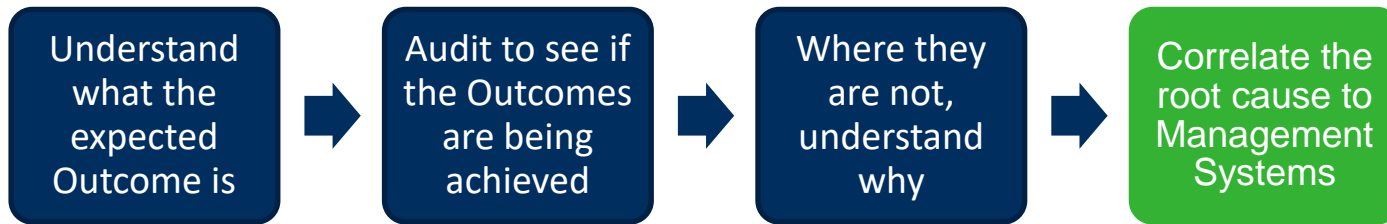
Die Mitarbeiterinnen und Mitarbeiter sind über die Sicherheitsmaßnahmen informiert.

Die Mitarbeiterinnen und Mitarbeiter sind über die Unfallverhütungsvorkehrungen informiert.

Die Mitarbeiterinnen und Mitarbeiter sind über die Aufgaben und Verantwortlichkeiten informiert.

Die Mitarbeiterinnen und Mitarbeiter sind über die Sicherheitsmaßnahmen informiert.





1. Connect each finding against the outcomes (if auditing a number of processes)
2. Create statement of what is not happening
3. Link to the related clause of the standard

Audit findings:

- Barrels of oil left outside without secondary containment near a drain, increasing risks of pollution to drains.
- Waste not segregated properly, in breach of contractual arrangements with waste company and regulatory requirements.
- Equipment left running overnight, not following site operating procedures.

Root Causes:

Inspection programme does not define what areas will be inspected, resulting in some locations not being visited by any inspections.

Inspections are carried out during 30 minute site walkaround, leaving little time to spot issues or question what is happening.

Non-Conformance:

Inspections are not identifying all the environmental risks at the site.

ISO14001:2015 Clause:

9.1 Monitoring, measurement, analysis and evaluation.

Response to audits:



Audit findings

- Take action to remedy the specific items

Root Causes

- Improve the systems

Non-conformance

- Understand what part of the management system needs improvement
- Determine if similar issues exist elsewhere

Benefits of this approach



- By agreeing expected outcomes, there is consensus at the start about what should be happening
- More realistic about your organisation's performance
- Less reliance of documentation and “theoretical” management
- Links “reality” with the management systems
- Better management engagement process