

# IEMA Lead Environmental Auditor

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Course length:	5 days
Level:	Advanced
Delivery:	Classroom
Venues:	Worldwide
Pre-Qualifications:	None
Examinations:	Course test and in course assessment of audit skills, moderated and certificated by IEMA
Next step qualification:	IEMA - Full membership (MIEMA) to IEMA (incorporating Associate Certificate in Environmental Management) by Applied Learning.

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## Overview

This course is designed to develop delegates auditing skills through their application to an Environmental Management Systems audit.

Participants work in small teams, led by an experienced Lead Auditor as they conduct an opening meeting, plan the audit, interview employees and evaluate the key documentation of the Environmental Management System; to review, analyse and use as they would in a real audit. The culmination of the class is a closing presentation to the senior management of the company.

Participation in the comprehensive and detailed 'Petros Barola' case study includes:

- Preparing for and conducting a live opening meeting
- Audit interviews (participation in, and observation of)
- Gathering objective audit evidence
- Preparing audit working papers and a draft audit report
- Audit team meetings
- Preparing for an conducting a live closing meeting
- Audit follow up

This course is externally approved and certified by IEMA (the Institute of Environmental Management and Assessment) for external accreditation of Auditors and Lead Auditors (after suitable practical experience).

Delegates who wish to gain audit skills in Safety, Health and Environmental auditing should consider our integrated IOSH SHE audit course.

## Target Audience

This course is aimed at individuals who wish to undertake or lead environmental audits as part of an EMS such as ISO 14001.

## Assessment Process

This course is assessed by two methods

- A course test of 30 short answer questions
- An In -course tutor assessment of the application of environmental auditing skills



## Syllabus

By the end of the course delegates will be able to

**Understand and evaluate current environmental issues, their interrelationships and how they relate to the auditing process.**

- Sustainable development policies and strategies
- Concepts of governance and accountability; public/private/NGO relationships and roles; social and livelihood impacts; community participation and management; common property resources
- Impact of human activities on the environment.
- Explain the key global impacts and know the local activities and aspects that cause them (climate change, acidification, ozone depletion, biodiversity loss, resource depletion, energy and water, etc.)

**Apply techniques used in the identification of environmental aspects & impacts**

- Preparatory review, aspects/impacts recording
- Identification of emissions (fugitive and point sources) and wastes
- Identification of sensitive receptors and Contamination pathways
- Whole Life Costing - Identifying and evaluating upstream and downstream aspects/impacts
- Supply and customer chain controlled aspects/impacts
- Use of tools – checklists, rating systems etc.

**Evaluate and explain the significance of environmental impacts**

- Limits of auditor responsibility in assessing methodologies
- Concern of interested parties, community relations, reputation

**Analyse and validate environmental objectives, targets, management and monitoring regimes relating to a range of industry types**

- Organisational structures and their auditing implications
- Learning lessons from the past
- Planning for the future
- Future information collection
- Respond to change e.g. new production processes, acquisition of new sites, new regulatory or voluntary requirements.
- Site operating procedures
- Evaluating monitoring and control systems
- Environmental performance of suppliers
- Development, management and assessment of objectives and targets;
  - Links to Environmental policy
  - Methods of selection of objectives and targets
  - Quantification
  - Assessment of the validity and achievability of objectives and targets
  - Measuring progress against objectives and targets
  - Auditing the management programme
  - Measuring continual improvement.
- Management and prevention of abnormal and emergency situations:
- Preventative and protection measures
- Preparation for emergencies/ accidents;
- Contingency planning and testing;



### **Describe and identify the relationship and differences between a range of audit types**

- Recent developments in interpretation, implementation, integrated systems,
- certification, (EMAS = verification) and registration
- Purpose and outcomes of environmental audits
- Types of Environmental Audit including EMS, IMS, Single/multiple issue, carbon, producer responsibility, energy, communication/reports, legal compliance, etc.
- Differences in 1st/2nd/3rd party auditing.

### **Evaluate key pieces of environmental legislation and define their relevance in the context of environmental auditing**

- Air, water, waste
- Hazardous substances
- Environmental assessment
- Site operational permits, planning permits
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### **Describe and explain the roles and responsibilities of the auditor, the audit team and other relevant bodies.**

- Roles and responsibilities of:
  - the auditor;
  - Certification Bodies/Registrars;
- Ethical conduct;
- Due professional care;
- Impartiality and independence;
- Objective audit evidence;
- Fair presentation.
- International Standards Organisation;
- Auditor registration bodies (e.g. IEMA);
- Code of practice for auditors/verifiers.
- Benefits of bringing client representatives into an audit team
- Management Responsibilities

### **Plan, initiate, implement, manage, monitor and review a broad range of audit programmes.**

- Initiating the audit (objectives, scope and criteria);
- Appointment of the Lead Auditor;
- Feasibility of the audit;
- Selecting the audit team;
- Initial communication with auditee;
- Document review;
- Preparing for the onsite activities (planning, team assignments, H&S, work documents, sampling approach, assurance/confidence level requirements of various legal and other requirements);
- Onsite audit activities (opening meeting, communication during the audit, roles and responsibilities of guides, collecting and verifying information, audit findings and conclusions, communication after the audit, closing meeting).
- Preparing the audit report.
- Reporting the audit (audit report preparation and content, report approval and dissemination, retention of documents etc).
- Audit completion and follow up (corrective and preventative action).
- Use of observational, verbal and other evidence
- Writing non-conformances
- Evaluation of non-conformance (major/minor). Cultural differences in non-conformance assessment.



- Scope and Objectives;
- Responsibilities, resources and procedures;
- Conducting the audit;
- Record keeping;
- Monitoring and review of the audit process.

### **Demonstrate the main competences required for leading an environmental audit and the main competencies required in an audit team**

The course materials include the best-selling Taylor & Francis book 'HSEQ Audits – A Risk-based Approach' which was written by Stephen Asbury who works for Corporate Risk Systems Limited; and who regularly teaches on the course. A signed copy of the book is included within the course fee for each participant.

#### **Additional Notes**

USP – Whilst this course follows the IEMA Lead Environmental Auditor course – it was written and developed by the author of a bestselling auditing book. The course follows the 'Audit Adventure' principal

During the course the delegates will interview 'real' characters at senior management, supervisor and employee level as well as reviewing actual legal registers etc.

The course has been delivered in 6 continents to international audiences.

This course runs as PetroSkills HS47E

#### **YOU WILL LEARN HOW TO**

- Participate effectively in an audit or review team in line with ISO 19011 and the standards of the auditing professions
- Relate audit to the essential principles of corporate governance, risk management, business control and management systems
- Add value for senior management from the auditing process
- Demonstrate the skills necessary to conduct an effective audit, including:
  - Familiarising with the auditee's business context and objectives
  - Developing a risk-based work plan
  - Effective interviewing, reviewing and testing techniques
  - Recording, analysing and assessing audit findings
  - Evaluating the auditee's EMS
  - Summarising, presenting and reporting at high level the audit results to management

#### **ABOUT THE COURSE**

Participants work as a member of a team of internal auditors to assess the EMS of Petros Barola Ltd, a fictitious but highly realistic case study based on the distribution department of an integrated oil company located on the island of Barola / Ras Barola.

The program is firmly based in the principles of corporate responsibility for risk management and business control, and the theory and practice of modern risk-based auditing. The case study scenario has been successfully used by participants from many disciplines working in the upstream, midstream and downstream business sectors and key support functions because it enables them to focus on the structure and execution of the audit rather than being distracted by their specialist knowledge of their own sector of the industry.



The intensive five-day course programme consists of a blend of tutorials, workshops and hands-on activities within the audit case study. Participants work in small teams, each led by an experienced Lead Auditor. Every participant works within the team through each stage of an audit with live face-to-face interviews and a variety of corporate documents and test results to simulate the execution of an actual audit. The culmination is a presentation to the senior management of the company.

Candidates who successfully complete the course work, and pass the moderated examination are issued with certificates by IEMA and PetroSkills.

## COURSE CONTENT

Learning and Development:

- Global challenges - environmental aspects and impacts
- Risk management and business control
- EMS auditing and ISO 19011
- Prepare - Planning the audit
- Conduct - Review and Test processes
- Effective interviewing for information
- Report - Findings and recommendations
- Audit conclusion and reporting

Participation in the comprehensive and detailed Petros Barola case study:

- Preparation
- Opening meeting
- Audit interviewing
- Gathering objective evidence
- Preparing the audit report
- Audit team meetings
- Closing meeting
- Audit report and follow-up

