



An Overview of CSA Z773 “Environmental Compliance Auditing”

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Canadian Standards Association

- CSA is a leading standards development body, product certification agency and the largest quality registrar in North America
- Private, not-for-profit organization
- Accredited by the Standards Council of Canada for standards development, product safety certification and quality/environmental registration services
- Manages the ISO Secretariats for TC176 - Quality and TC207 - Environment (held by the Standards Council of Canada)

- International Organization for Standardization
- Based in Geneva
- Member based - Standards Council of Canada is our official member
- Published over 12,800 standards to end of 2000
- ISO TC207 - Environmental Management Committee was a co-developer of the ISO 19011 auditing standard

CSA Technical Committee on Environmental Auditing and Related Investigations

- Responsible for the development of environmental auditing standards to serve Canadian society, eg.
Z768 and Z768 Env. Site Assessment I & II
CAN/CSA-19011-03 Mgmt. Systems Auditing
- Harmonized to also serve as the Canadian Advisory Committee to ISO TC 207/SC 2 (Auditing)
- Chair is John Reed of the Auditor General of Canada; Vice-Chair is Ed Villeneuve of Noranda
- Includes over 30 members from a diverse background including consultants, industry, government and general interests

ISO 19011 Standard Development

- Generic processes for auditing either environment or quality management systems
- Canadian adoption published Spring 2003
- Used as the basis for Z773 in terms of generic processes for conducting environmental audits

Basic Issues of CSA Z773

- Recognition of need for improving methods of environmental compliance auditing.
- Started as a document based on the Z768 Phase I Environmental Site Assessment model
- Later on in its development, the CSA Technical Committee decided to remodel Z773 on the newly published ISO 19011 standard for better consistency.

CSA Z773 Document Structure

0. Introduction, 1. Scope, 2. References
3. Definitions
4. Principles
5. ECA Activities
6. Initiating an ECA
 - Conducting Onsite Activities
 - The Audit Report
 - Quality Assurance
- Informative Annexes

Z773 Clause 3 Definitions

- Some terms additional to those provided in ISO 19011 are included.
- Some terms are included that differ slightly from the ISO definitions. The TC felt that better clarity was needed for the Z773 document
- Terms can differ to ISO 14001 now under the new revision process.

Z773 Clause 4 Principles

Confidentiality and Legal Liability:

Reasonable expectation of confidentiality

Objectivity and Independence:

Free of bias in the conduct of the audit

Conflict of Interest:

Disclosure in advance of the conduct of the audit

Competence of the Auditor:

Ensures the credibility of the audit result

Z773 Clause 4 Principles Cont'd

Due Care:

Use of good judgment

Systematic Procedures:

Sufficient information to support audit conclusions

Level of Assurance:

Awareness of the inherent limitations of an ECA

Z773 Clause 5 ECA Activities

Overview graphic of the key ECA Activities:

- Clause 6 – Initiating an ECA
- Clause 7 – Onsite ECA Activities
- Clause 8 – The Audit Report

Z773 Clause 6 Initiating the ECA

- 6.1 Appointing the Audit Team Leader
- 6.2 Defining Audit Objectives, Scope and Criteria
- 6.3 Selecting the Audit Team
- 6.4 Establishing Initial Contact with the Auditee
- 6.5 Conducting the Initial Document Review
- 6.6 Determining the Feasibility of the Audit
- 6.7 Preparing for the Onsite Audit Activities
- 6.8 Access
- 6.9 Health and Safety

Z773 Clause 7 Conducting Onsite Audit Activities

- 7.1 Conducting the Opening Meeting
- 7.2 Communication During the Audit
- 7.3 Guides and Observers
- 7.4 Collecting and Verifying Information
- 7.5 Observation of Auditee Activities

Z773 Clause 7 Conducting Onsite Audit Activities Cont'd

- 7.6 Document Review
- 7.7 Interviews
- 7.8 Generating Audit Findings
- 7.9 Preparing Audit Conclusions
- 7.10 Conducting the Closing Meeting

Z773 Clause 8

The Audit Report

- 8.1 Preparing the Audit Report
- 8.2 Distributing the Audit Report
- 8.3 Completing the Audit
- 8.4 Conducting Audit Follow-Up

Z773 Clause 9

Quality Assurance

- 9.1 General
- 9.2 Errors and Omissions
- 9.3 Quality Assurance Measures

Z773 Informative Annexes

- **Annex A – Sample Audit Elements**
- **Annex B – Sample Audit Protocol Procedures**
- **Annex C – Examples of Document Review**
- **Annex D – Corresponding Clauses of
CSA Z773-03 and CAN/CSA-ISO 19011-03**

Questions or Clarifications?

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Thank You!