



# Evolution of Registration Assessments: the first 8 years

**2004 CEAA Technical Conference**

Vancouver, B.C. October 14 – 15, 2004

**Ralph Walicki M.Sc., P.Eng., CEA**

*Advancing Business Excellence*



## Objective

Share observations concerning the evolution of ISO 14001 Environmental Management System (EMS) Registration Assessments.

# Presentation Overview

- QMI Background
- Approach to Discussion
- Registration Assessment in the EMS Registration Cycle
- Auditees' Standpoint
- Auditors' Perspectives
- Audit Related Changes
- Recent Developments
- Observations Summary

## Evolution of QMI

- 1979 – Canadian Standards Association (CSA) - Quality Management Systems Registration Program
- 1984 - Canadian Standards Association (CSA) - Quality Management Institute (QMI) – a division
- Independent, third party management systems registrar
- Accredited By:
  - Standards Council of Canada (SCC)
  - Registrar Accreditation Board (RAB)
  - EMA - Mexico



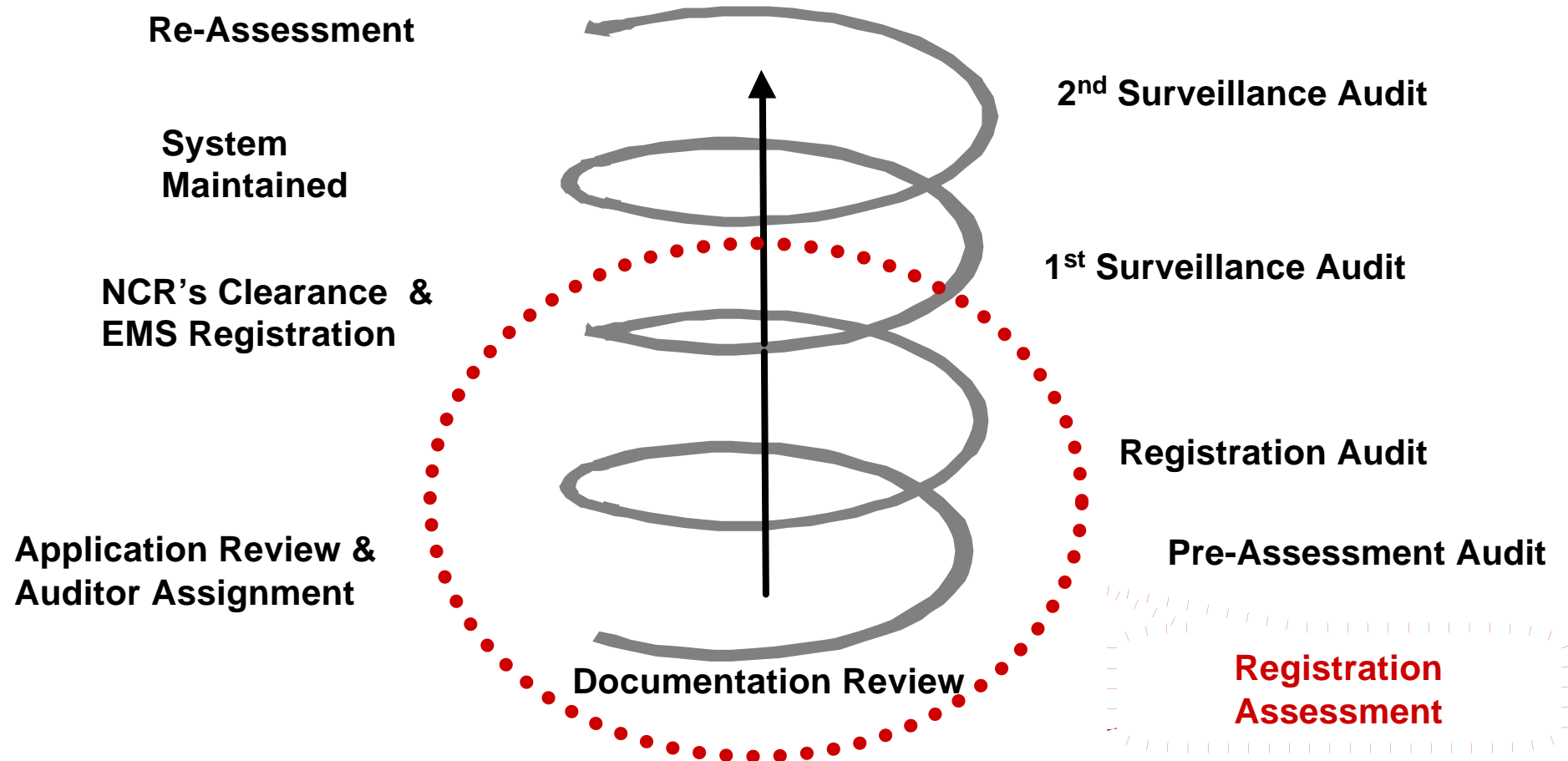
## **How have Registration Assessments changed since 1996?**

**Auditees** – changes in the area of Management Systems Registrations – who gets audited

**Auditors** – changes in the area of those who perform the registration Assessments

**Audits** – changes in the area of how registration assessments are performed

# Registration Process Model



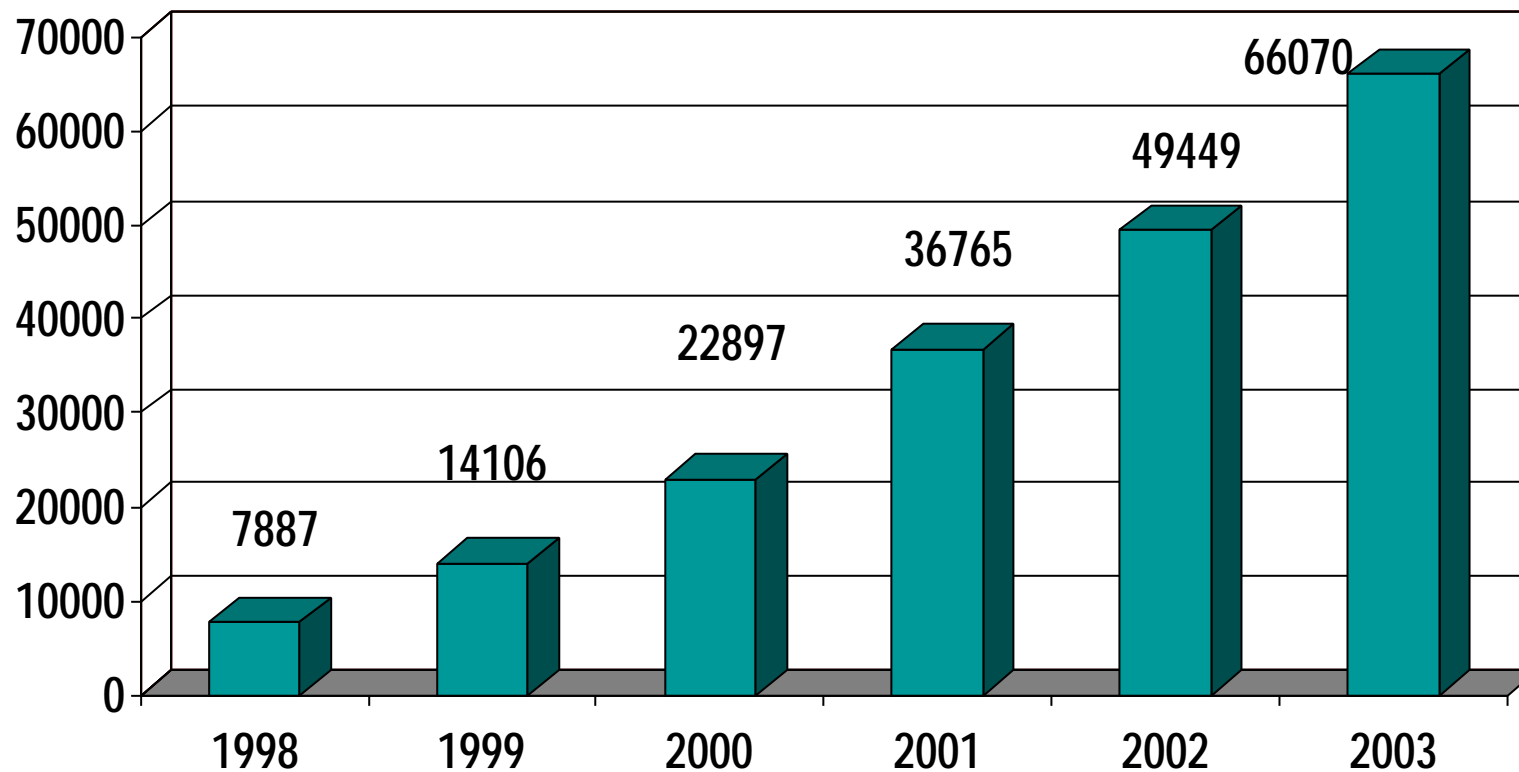
# Auditees' Standpoint (those who "get" audited)

- Worldwide and Canadian ISO 14001 EMS Registration trends
- Changes in auditees' Registration Assessment Criteria



# ISO 14001 Certificates - Worldwide

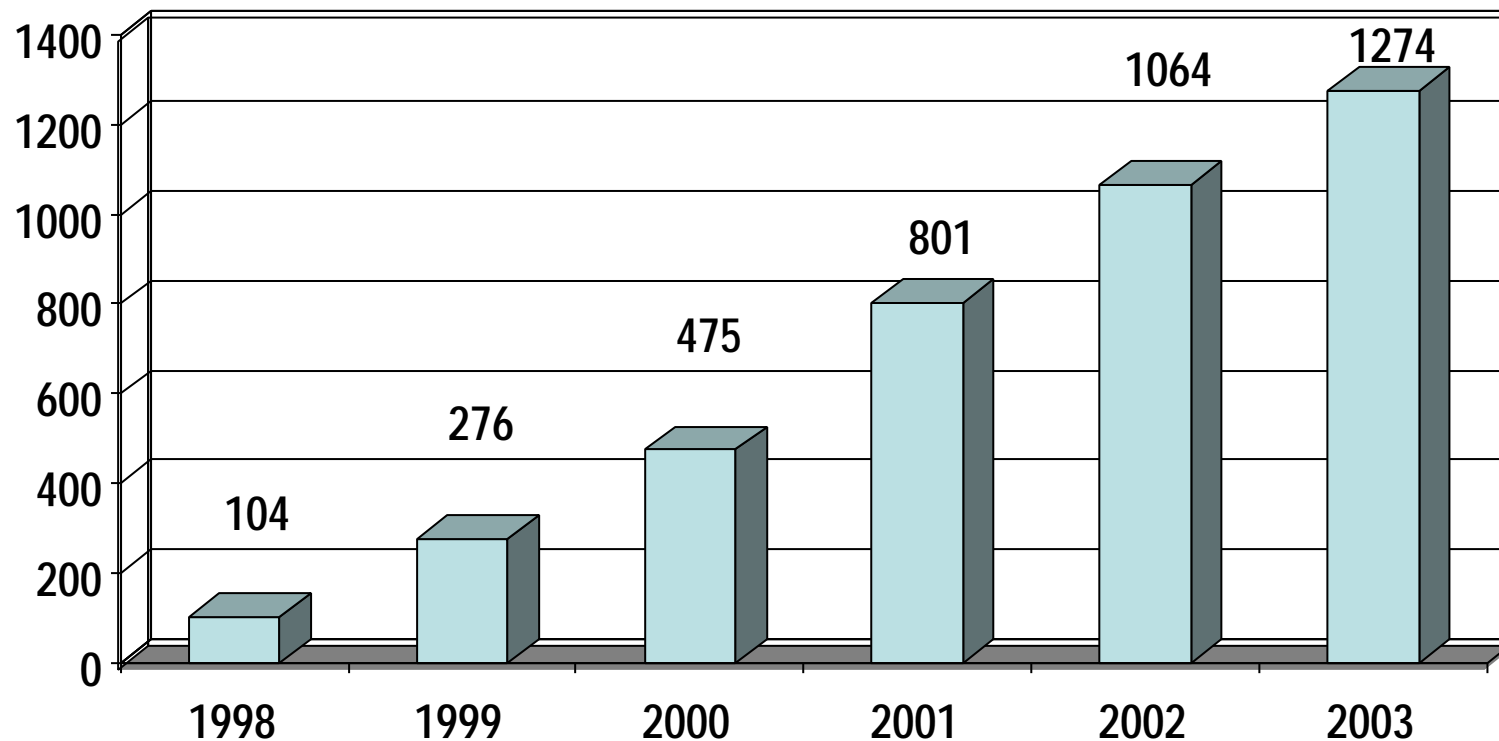
(based on Annual ISO Survey of ISO 9001:2000 and ISO 14001 Certificates, 2003)





# ISO 14001 Certificates in Canada

(based on Annual ISO Survey of ISO 9001:2000 and ISO 14001 Certificates, 2003)



# Auditees' Standpoint

<u><b>Criteria</b></u>	<u><b>Then</b></u>	<u><b>Now</b></u>
<b>Registration Entities</b>	Single site, independent Environmental Management Systems	Inter-dependent, complex, multi-site Environmental Management Systems
<b>Systems Integration</b>	Rare	Very common – including ISO 9001, OHSAS 18001, RC 14000
<b>Other Voluntary Objectives</b>	Rarely incorporated into the Assessment	Common to include EVER, CACD Responsible Distribution
<b>Auditees' Awareness</b>	Limited reference and resource materials available	Extensively covered in literature, some research, Internet
<b>Value-added expectations</b>	Compliance assurance External Recognition	Focus on Management System performance Interaction of all requirements and continuous improvement

# Auditors' Perspectives (those who "audit")

<u><b>Criteria</b></u>	<u><b>Then</b></u>	<u><b>Now</b></u>
<b>EMS Auditors Qualifications, Experience and Expertise</b>	Limited resources – primarily environmental compliance, technical experts	Management systems trained environmental professionals EMS trained Management Systems auditors
<b>Multi-disciplined Auditors</b>	Rare	Common, capable to audit to various standards ISO 9000, OHSAS 18001, industry specific standards
<b>Value to Client</b>	Standard conformity External verification	Improved value to customer- more extensive experience
<b>Peer Support</b>	Limited	Improved through auditor associations e.g. CEAA In-house auditor development

# Audit Related Changes (how Assessments “get done”)

- Variety of subtle changes affecting:
  - Audit Planning
  - Audit Process
  - Audit Reporting

# Audit Planning

	<u><i>Then</i></u>	<u><i>Now</i></u>
<b>Purpose</b>	Audit and register	Audit, register and <b>maintain registration</b>
<b>Audit Plans</b>	Element based	Process oriented Customized to organizational structures
<b>Auditing Criteria</b>	ISO 14010, 14011 and 14012	ISO 19011, IAF Guide 66

# Audit Process

<u><b>Criteria</b></u>	<u><b>Then</b></u>	<u><b>Now</b></u>
<b>QMI Audit Procedures</b>	Detailed and numerous – covering various stages of the process	Smoothly aligned process
	Geared toward auditing sites	Systems and their interaction Emphasize planning elements to enable focus on maximizing benefits
	Element based	Processes and their effectiveness including internal audit
	Conformance to elements of the standard	Emphasize controls for Corrective Actions

# Audit Reporting

<u><b>Considerations</b></u>	<u><b>Then</b></u>	<u><b>Now</b></u>
<b>Checklists</b>	Element based	Process oriented Adaptable to multiple standards
<b>Audit Findings</b>	Nonconformances (2 types)	Positive Aspects Opportunities for Improvement Nonconformance (single)
<b>Reports</b>	Reporting by exception Negative	Tighter timeframes for submitting reports. Electronic reports
<b>Communication</b>	Formal channels	Informal- promotes usage of electronic media

# Typical Assessment Methodology

- Opening Meeting/ Introductions
- Facility Tour
- Review Standard and Management System Requirements per Audit Plan
  - look for objective evidence
  - interview those performing the task
- Snapshot of system -Sampling Processes, Systems, Procedures, Operations
- Use Audit Checklists to Document Assessment Results
- Continuous Progress Reporting
  - daily meetings to update progress and discuss findings
  - promote openness in discussions and observations
  - be strict but fair - add value



# Recent Developments

- **National Academy of Public Administration**; May 2001; *Third-Party Auditing of Environmental Management Systems*
- **National Database on Environmental Management Systems**; Dec 2003; *Do EMSs Improve Performance?*

## Observations Summary

- Results – increased value and quality of registration assessments
- Quality Systems Registration model evolved to meet EMS requirements
- 2003 - 34% increase in number of certificates issued worldwide due to continued demand and evolution of process
- Increased management systems integration
- Higher demand for incorporation of multiple objectives into the process
- Increased EMS qualifications of auditing professionals