



Audit Guidelines Update



**“ISO 19011:2002 and a Registrar's
experience with changeover to
ISO 14001:2004”**

Presented by
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shape the future

Issue 2: 010405-BSI



AGENDA

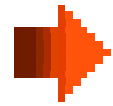


- ➡ **ISO14001:2004 Changes**
- ➡ **19011: Process auditing**
- ➡ **19011: The issue of competency**
- ➡ **What's next?**



ISO 14001:2004 changes revisited

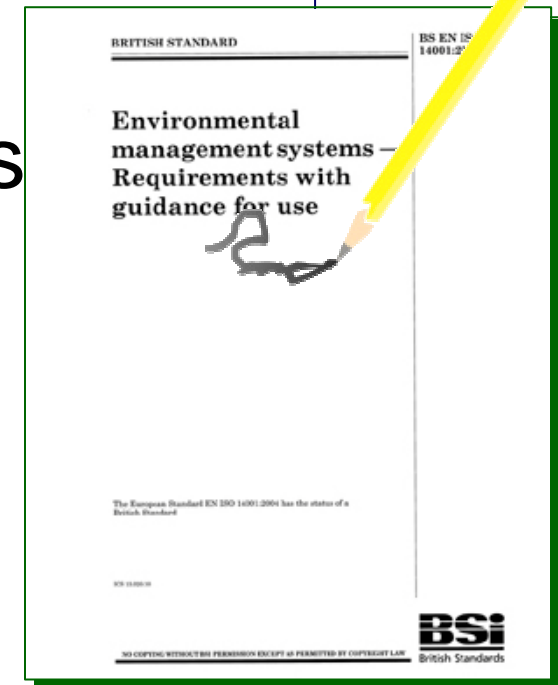




Key Changes to ISO 14001:2004



- **“Persons working on behalf of”**
- 4.3.1 Aspects
- 4.3.2 Legal & Other Req'ments
- 4.5.5 Internal Audits
- 4.5.2 Compliance Audits
- 4.6 Management Review



Linking Regulatory Requirements



Linkage:

4.3.1 Aspects to

4.3.2 Legal and Other Requirements

Reflection of **4.4.4c**:

- Main elements of the system
- Their interaction
- Reference to related documentation

Evaluation of Compliance



- Separated out the clause
- Drew attention to the requirements
- Ensures it is not overlooked
- Requires records of the results of periodic evaluations





Internal Audit



- New definition of internal audit
- New requirement for “**impartiality**” and “**objectivity**” in audits and auditor selection



Management Review



➡ **“Prescriptive”**

➡ **Specified inputs**

➡ **Predictable outputs**



ISO 14001:2004 Challenges



*Helping organizations see that
changes to the standard
are not just “Bureaucracy:
but are valuable in controlling
RISK*

ISO 14001:2004 Challenges



The standard requires the organization determine how legal and other requirements apply to their aspects.

Many organizations fail to understand the value of “connecting the dots”



ISO 14001:2004 Challenges



The standard requires training and competency for any persons working on the organization's behalf.

Many organizations fail to understand the risk they take without such training.



ISO 14001:2004 Challenges



- Accreditation Body interpret the requirement for “auditor tools” as “checklists”
- ISO 19011 requires process audits

***CHECKLISTS
DO NOT SUPPORT
PROCESS AUDITING!***





Management Process versus Process Auditing

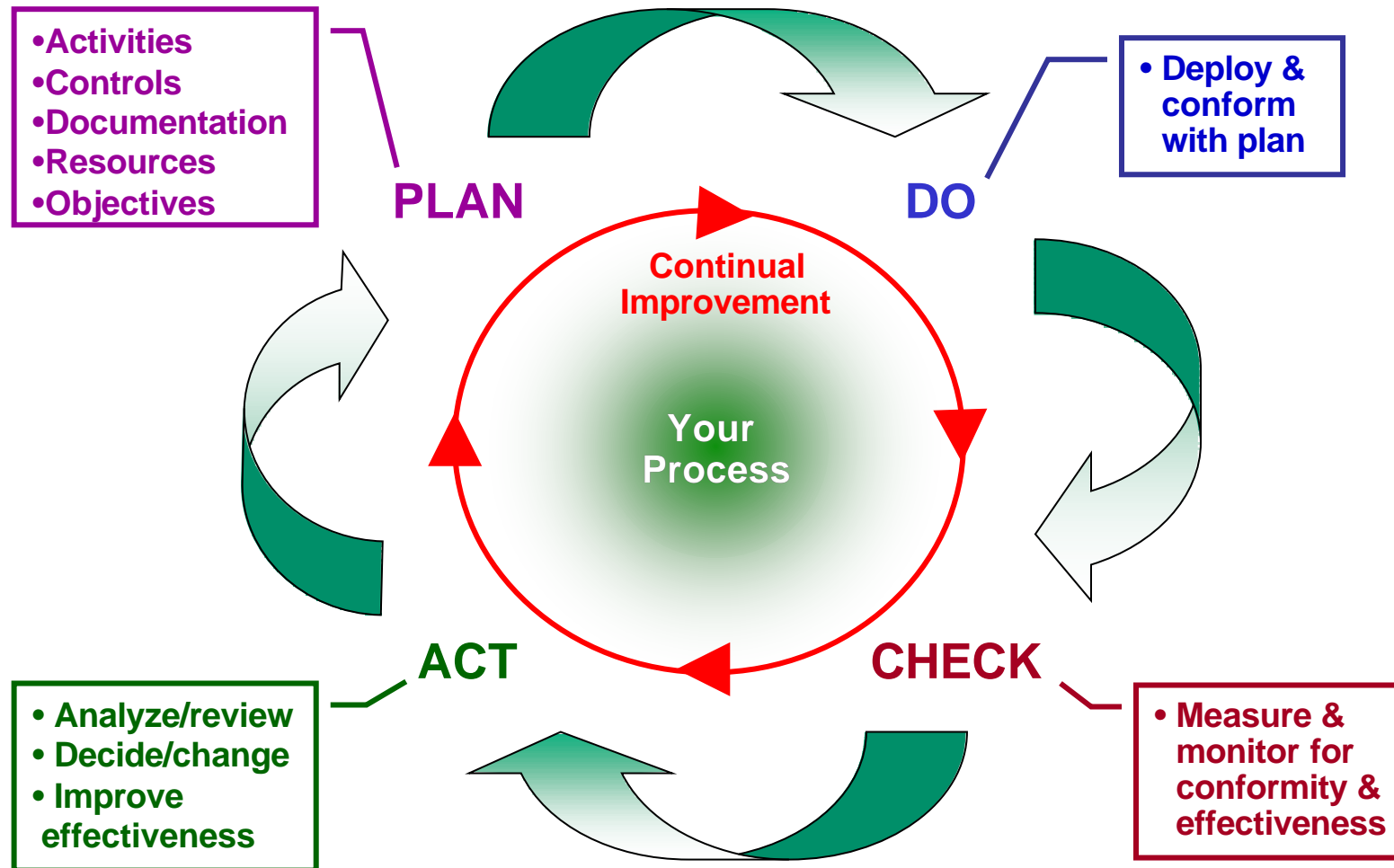


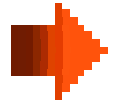


Plan-Do-Check-Act Process

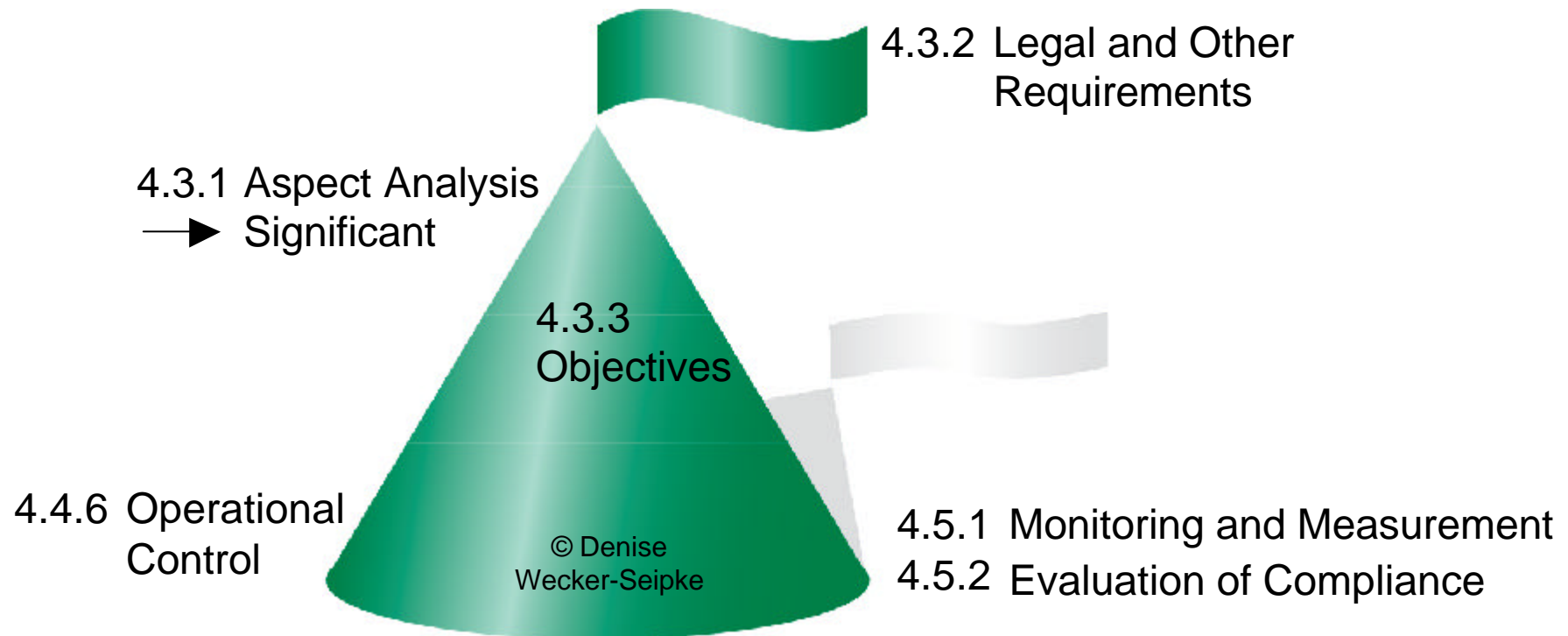


Shewhart Cycle



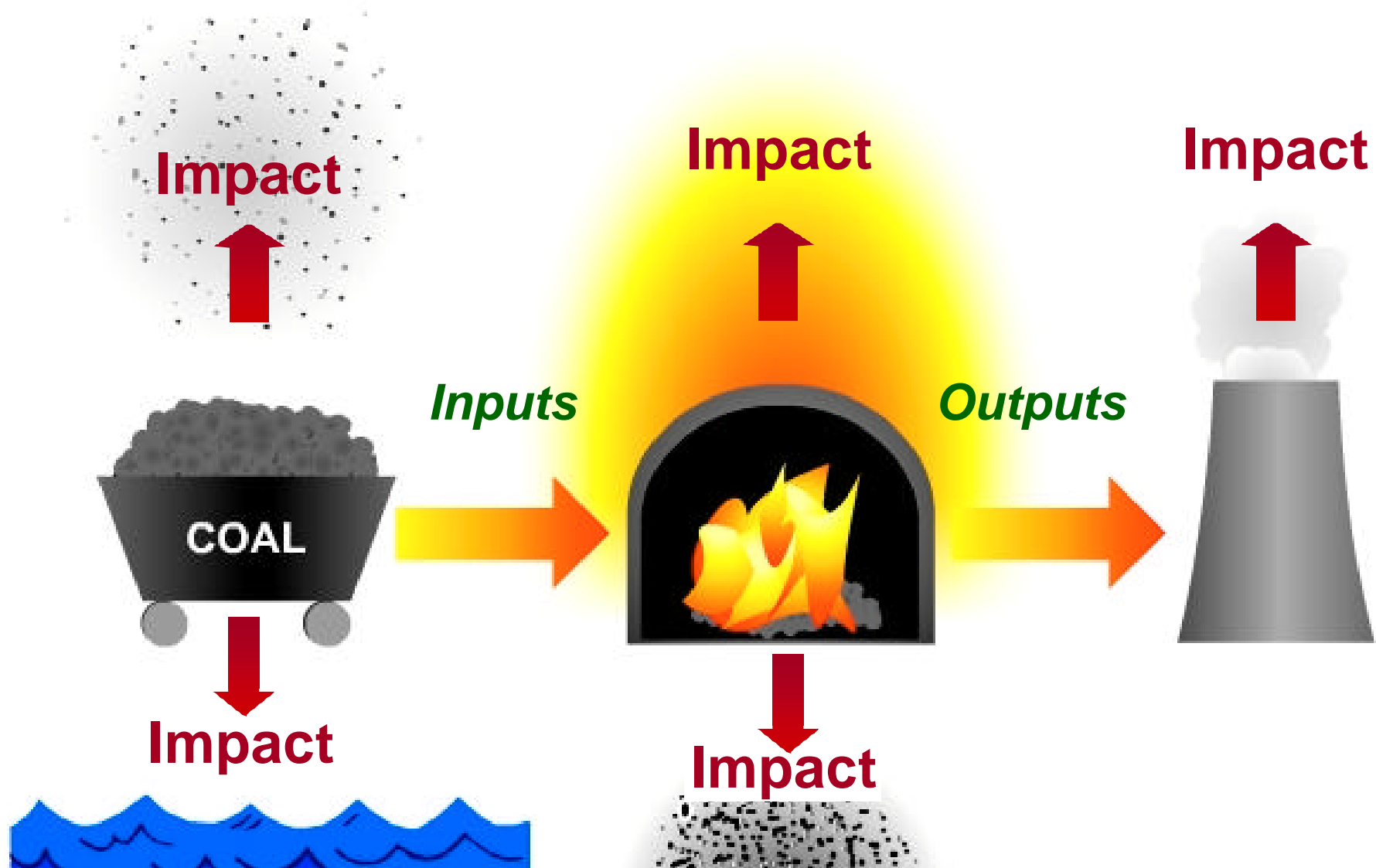


Environmental Process





Aspects-Process Approach



19011— A BID FOR COMPETENCY



What is 19011:2002?



- 19011:2002 “*Guidelines for Quality and/or environmental management systems auditing*”
 - Replaced:
 - ISO 10011-1:1990
 - ISO 10011-2:1990
 - ISO 10011-3:1990
 - ISO 14010:1996
 - ISO 14011:1996
 - ISO 14012:1996
- Quality
- Environmental

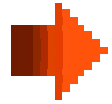


What is 19011:2002?

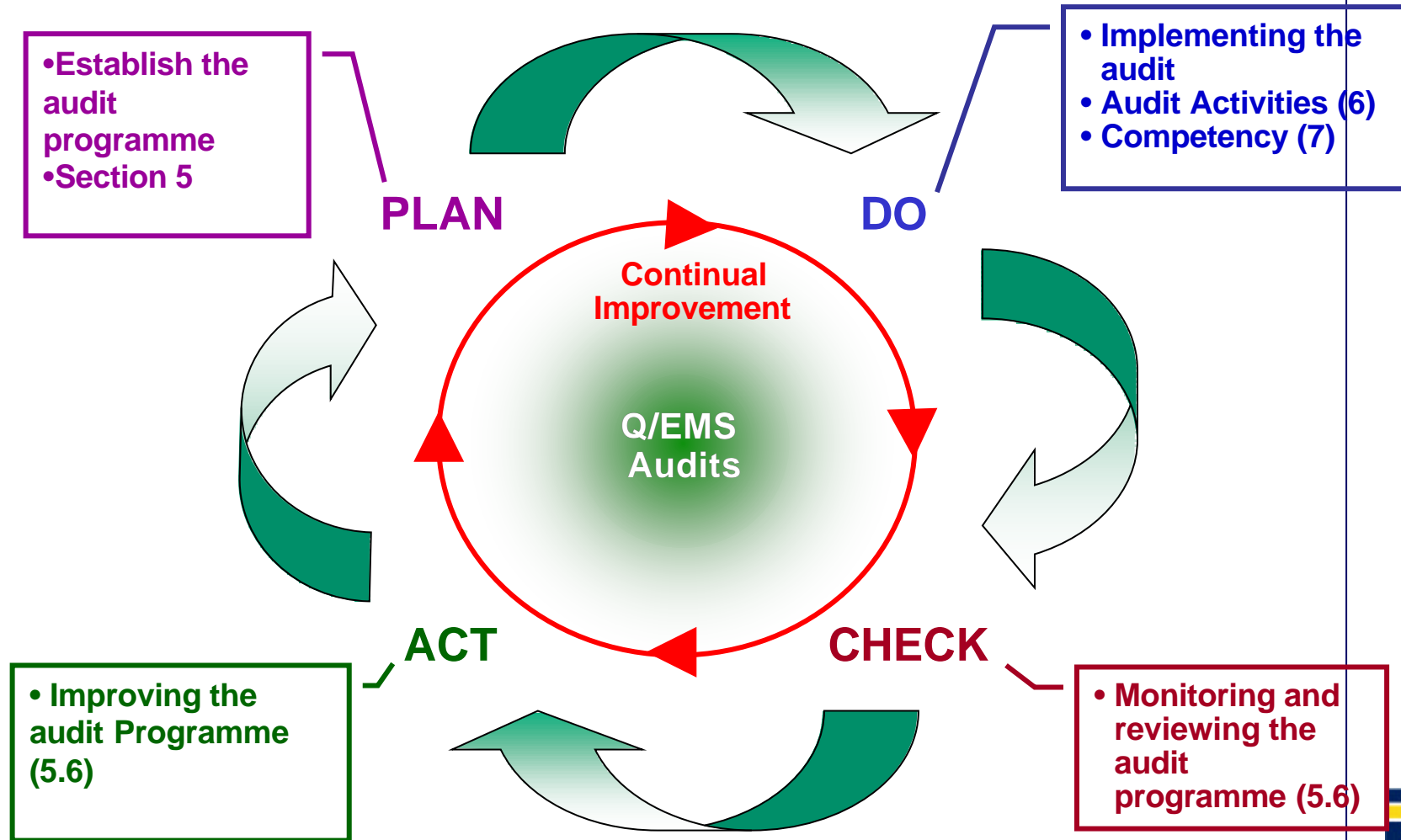


- Principles
- *Plan – Do – Check- Act* Approach





19011:2002 Approach



What is 19011:2002?



- 4 – Principles of Auditing *~ISO 14010*
- 5 – Managing an Audit Programme
- 6 – Audit Activities *~ISO 14011*
- 7 – Competence and evaluation of Auditors *~ISO 14012*



Competence !!



- ### 7 – Competence and evaluation of Auditors *~ISO 14012*
- Generic knowledge and skills for quality and environmental auditors
 - Quality Specific Knowledge and skills
 - Environmental Specific Knowledge and skills
- Levels of education, work experience, auditor training and audit experience





BSI's Motto

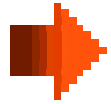


**“Proper
Prior Planning
Prevents
Poor Performance”**

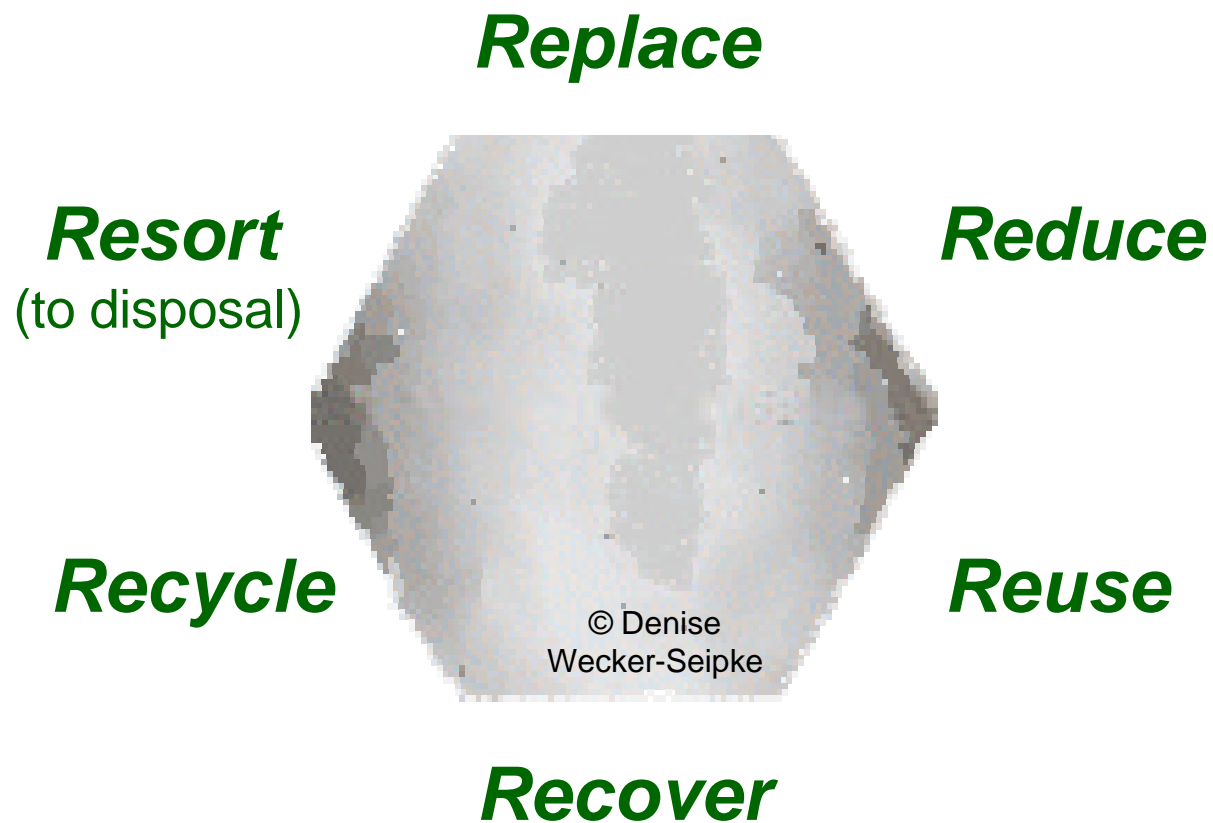


Competency of the 70s: “3-Rs”





Competency Today



ISO 19011 Challenges



- 19011 supports cross-training of Quality Auditors
- Quality Auditors' science background often mechanical
- Environmental science leans toward chemical and biological
- Quality Auditors struggle with process audits across mediums (air, chemical, waste management)





Into the future...





What's Next?



More Changes:

- ISO 17021 replacing GUIDE 62 and 66
- Determining the value of simultaneous audits, combined audits and integrated audits
- Completing sufficient professional development when auditing to multiple standards



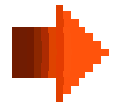
Thoughts for Professionals



The cost of doing business:

- Auditors certified to two standards at this time must spend approximately 10% of their time in continual professional development.
- Requirements to maintain internal resources for compliance and system audits
- The true value of competent auditors, capable of integrated assessments





Summary



- ISO 14001:2004 – Control Risk
 - “Persons working on behalf”
 - Linkages of Aspects to Legal and Other
 - Compliance Evaluations
- 19011:2002 – Process based standard
 - Requires process audits





Questions



Thank you!
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