

The Effective Internal Auditor

(For ISO 14001 Environmental Management systems only)

Training Course Outline

Description: This course is for individuals who wish to qualify to internally audit management systems compliant with the requirements of ISO 14001 (2004). The course complies with the guidance of ISO 19011.

Pre-requisites: Each student must come to class with his/her own copy of ISO 14001 standard. (All other course literature is provided.)

Taught at: Client site only.

Class size: 8 to 16.

Duration: 16 hours (2 days).

1. Introduction
 - a. Rational for internal audit
 - b. Differences between management system internal audit and other types of audits
 - c. The Plan-Do-Check-Act model
 - d. Internal audit: the ISO 14001 requirement
2. **Team Exercise 1: Understanding the requirements of ISO 14001 (2004)**
 - a. Teams prepare findings
 - b. Teams present findings
3. All about environmental management processes
 - a. Definition of a process
 - b. Categories of processes
 - c. Objectives and purposes of the processes
4. Introduction to process auditing
 - a. Purpose of internal audits
 - b. System document structure
 - c. Who's who in internal audit
 - d. The 5 key principles of effective internal audit
5. Phase 1: audit preparation
 - a. Evaluate process to be audited
 - b. Other background information
 - c. Environmental laws and regulations
 - d. Review / prepare audit checklist
 - e. All about audit evidence
6. **Team Exercise 2: Case study - audit preparation**
 - a. Teams prepare findings
 - b. Teams present findings
7. Phase 2: gathering data

- a. Data gathering techniques
- b. The 5 most important rules
- c. The 5 generic questions
- d. The 5 key facts
- e. The 5 best lines
- f. Handling potential noncompliances
- g. Drilling down
8. **Team Exercise 3: Case study - audit data gathering**
 - a. Teams prepare findings
 - b. Teams present findings
9. Phase 3: rationalizing findings
 - a. Positive findings
 - b. Negative findings (and observations)
 - c. Reporting a noncompliance: the 4 elements
 - d. "Finding" and "evidence"
 - e. Ranking noncompliances: major and minor?
 - f. Identifying repeat noncompliances
 - g. Environmental laws and regulations
10. Phase 4: reporting findings
 - a. Audit report
 - b. Closing meeting
11. **Team Exercise 4: Case study - rationalizing findings and audit reporting**
 - a. Teams prepare findings
 - b. Teams present findings
12. Rigorous final exam