
IEMA Webinar:

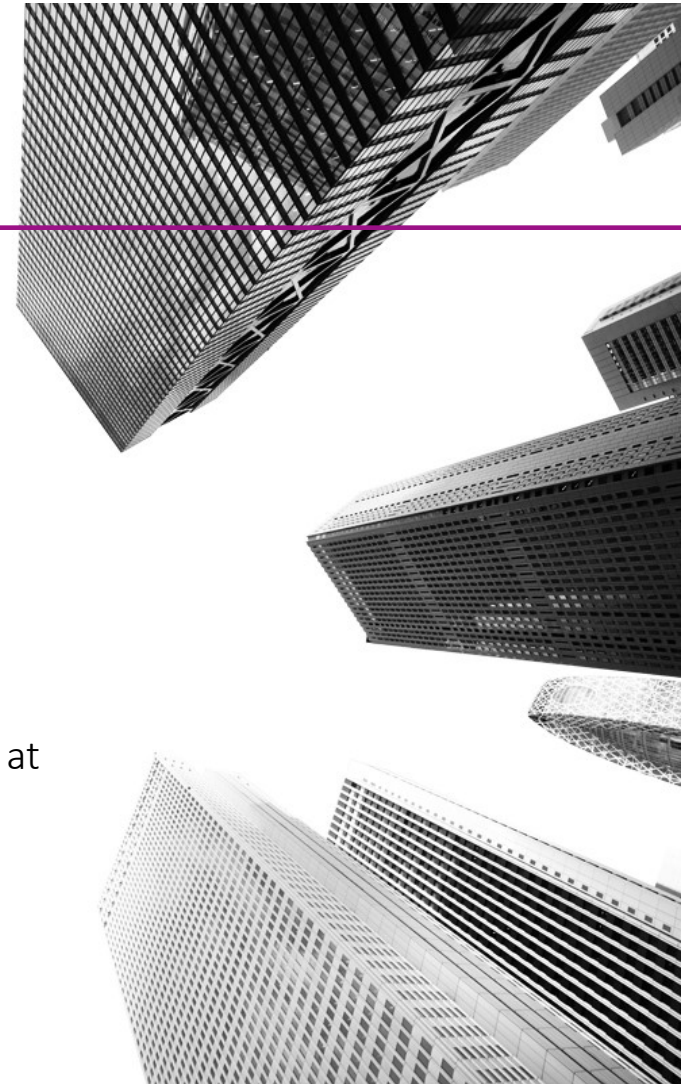
Environmental Auditing 101: An introduction to the key principles of environmental auditing

23.11.20

Marc Jourdan – IEMA Policy & Engagement Lead;

Matthew Goldberg (MIEMA) - Environmental Assurance Manager at National Grid Gas;

Nigel Leehane (FIEMA) - Director of Leehane Environmental Consulting Ltd.



Focus of this session

Background:

- Regular environmental audits are an important part of an Environmental Management System and help to keep an organisation on track in managing its impacts and risks.
- Good environmental auditing is based on effective planning, with realistic audit objectives and scopes that address key areas of risk.

Outcomes:

During this session you will gain an understanding of:

- What represents a good audit;
- The key planning stages in conducting an audit;
- Practical insight on how to maximise value from audits;
- The importance of registered auditors and certification bodies.

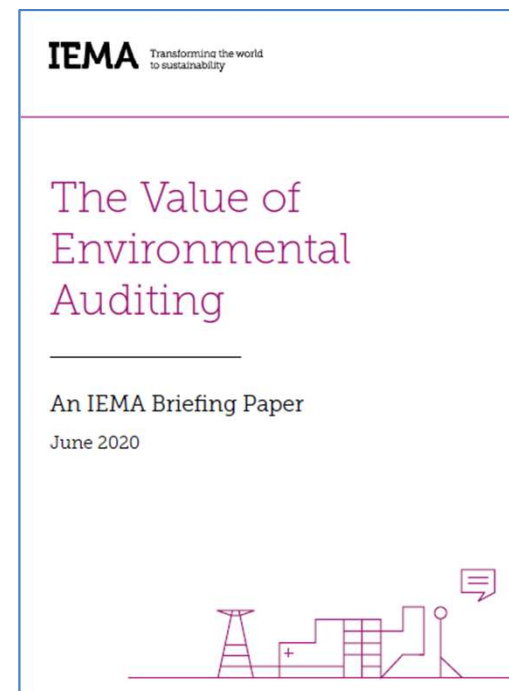


IEMA Publications

- **The Value of Environmental Auditing - An IEMA Briefing Paper (June 2020)**
- About: Explains how management can benefit from effective environmental audits and focuses on the roles of, both internal and external, auditing in adding value. It also examines the benefits that registered auditors, with demonstrated competence in auditing, can bring to the process.
- The guidance was authored and edited by Nigel Leehane (Leehane Environmental Consulting)
- The co-authors and main contributors to the document were Gillian Gibson (Gibson Consulting and Training), Andrew Marlow (OnePlanet Solutions) and Nigel Sagar (Skanska).

Available to download from IEMA Reading Room (members)

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Speakers



Marc Jourdan
Policy and
Engagement Lead

IEMA



Matthew Goldberg
MIEMA
Environmental Assurance
Manager

National Grid Gas



Nigel Leehane
FIEMA
Director

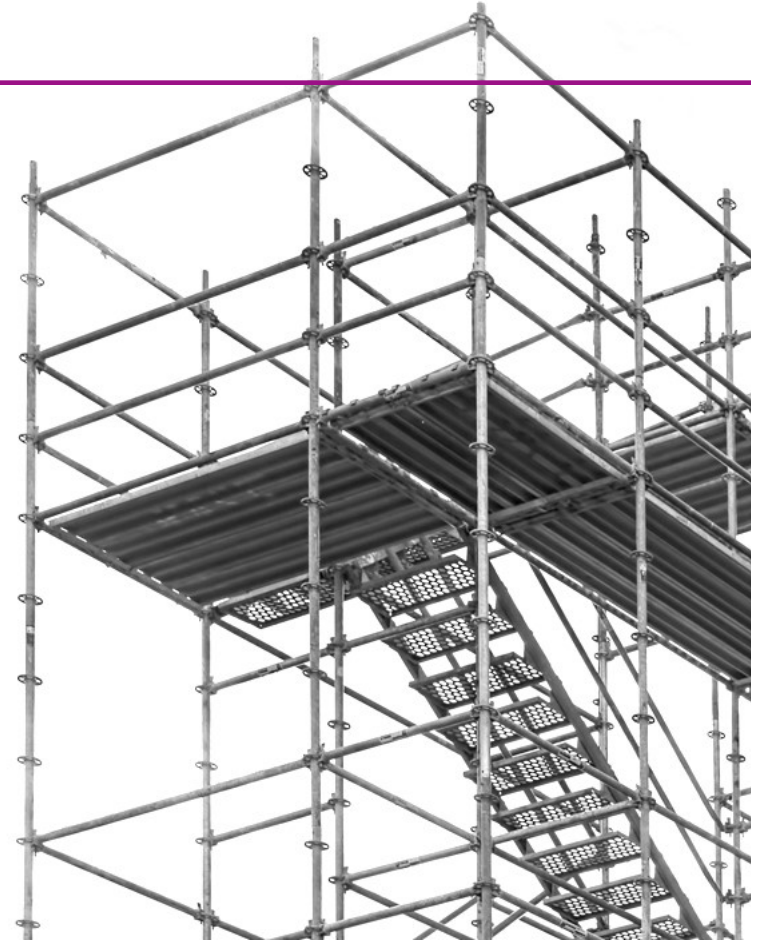
**Leehane
Environmental
Consulting Ltd**

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Webinar slides and recording

All IEMA webinars are recorded.
They can be found here:

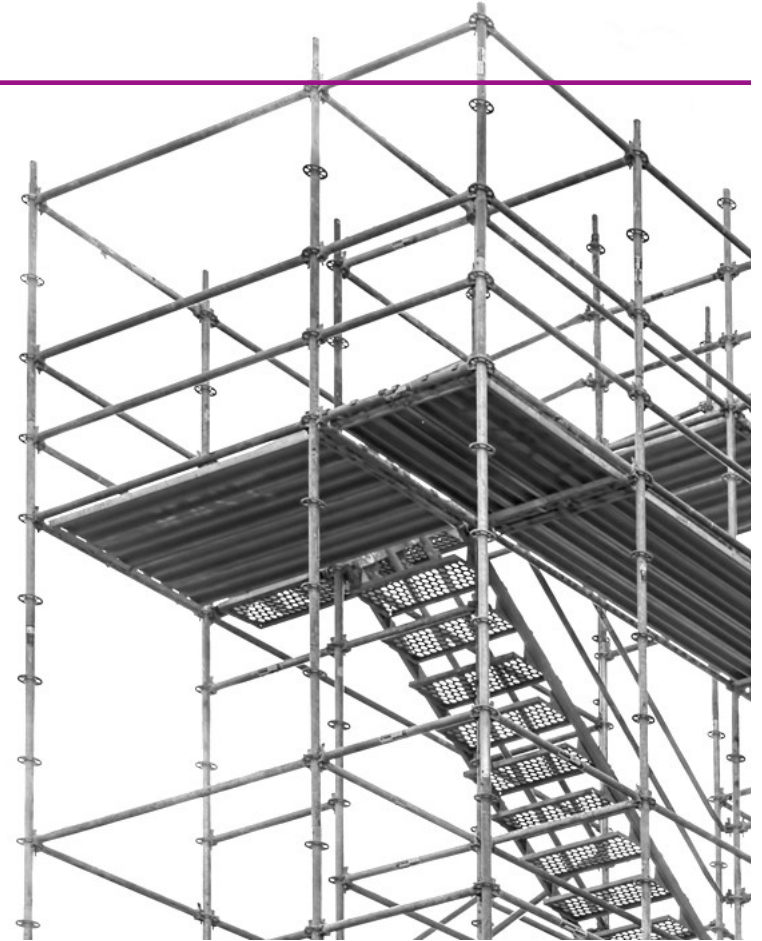
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Questions and Answers

We will have a Q&A/discussion session
at the end of the presentations.
Send in your questions as we go
through today's webinar.

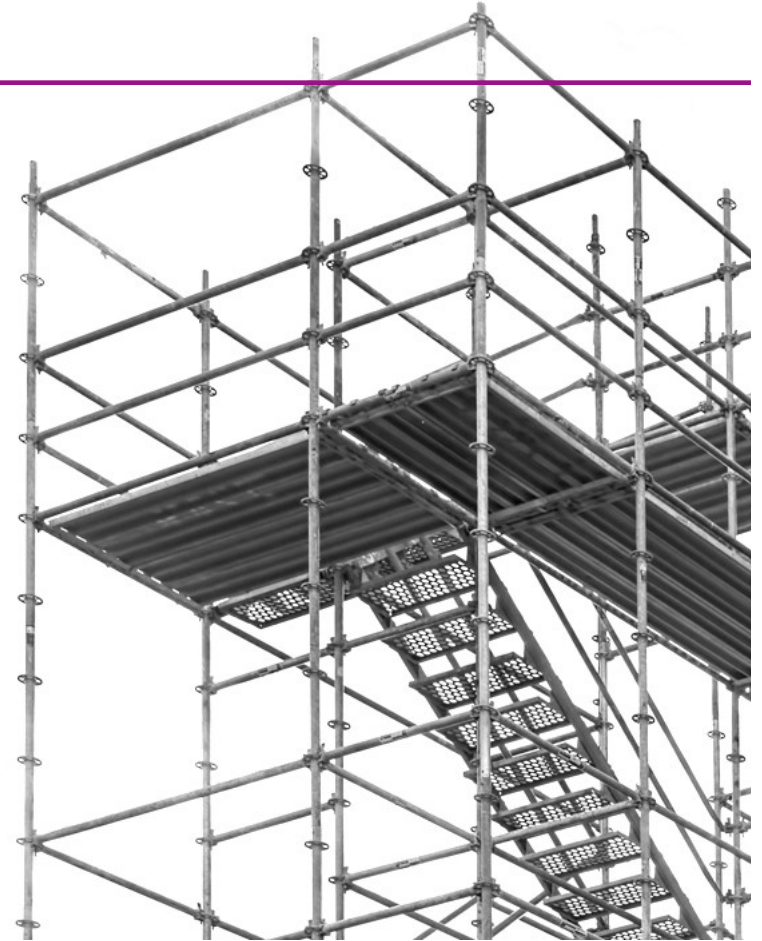
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Questions

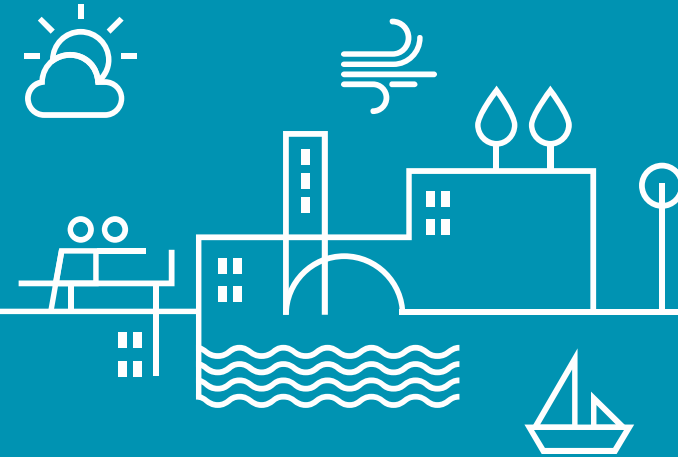
Marc Jourdan
IEMA Policy & Engagement Lead
m.jourdan@iema.net

iema.net





Poll Question 1



Presentations



Matthew Goldberg

Introduction to Auditing

What is an Audit

1. What is an Audit
2. Benefits of Auditing
3. The principles and practices of environmental auditing
4. Types of environmental audits
5. Standards and other sources of guidance for environmental auditing

What is an Audit?

A formal definition of an audit:

systematic, independent and documented process for obtaining objective evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled

Clause 3.1, ISO 19011:2018

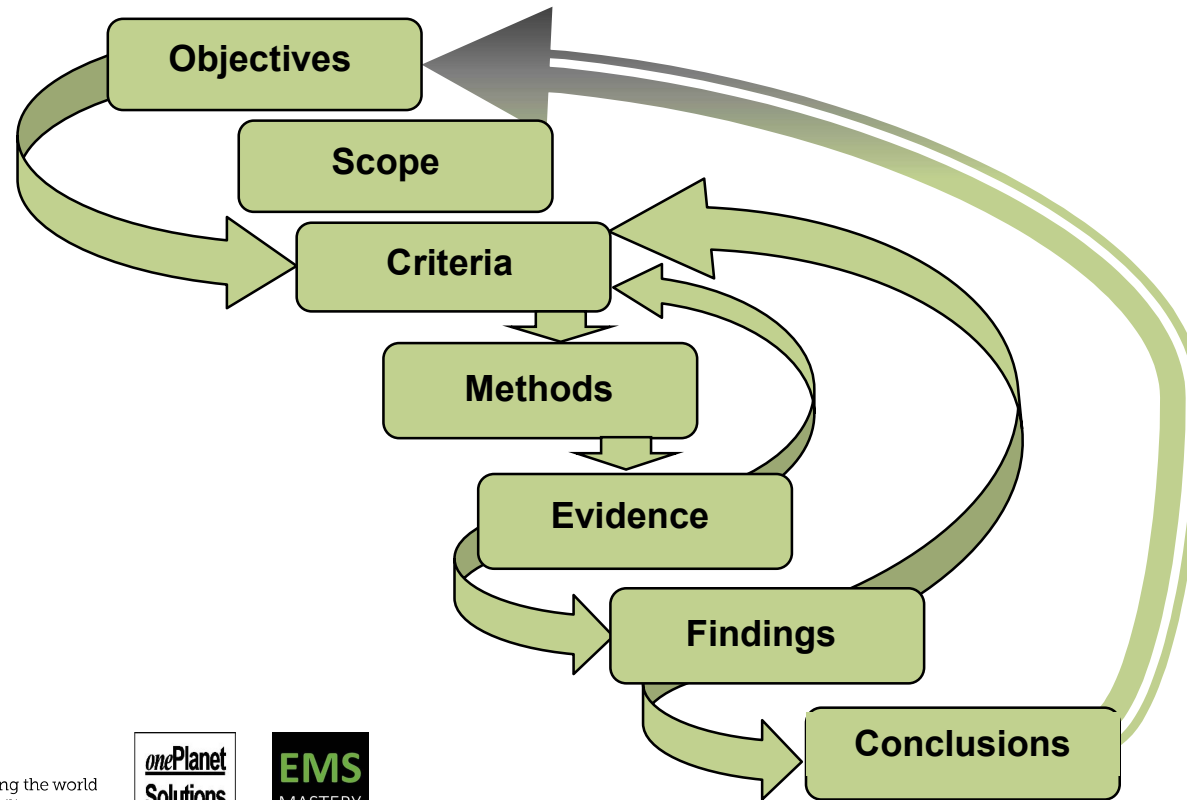
Benefits of auditing

- Inform management and their teams on how they meet & where they do not meet their own procedures
- Facilitate information on the organisation's performance against its own procedures
- Identify opportunities to improve environmental performance
- Demonstrate compliance with current regulatory requirements

The principles and practices of environmental auditing

1. Integrity
2. Fair presentation
3. Due professional care
4. Confidentiality
5. Independence
6. Evidence-based approach
7. Risk-based approach

The principles and practices of environmental auditing



The principles and practices of environmental auditing

1. Integrity
2. Fair presentation
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6. Evidence-based approach
7. Risk-based approach

Types of environmental audits

Environmental audits can be described as:

Subject-based Audits

(e.g. waste, energy, water etc).

Operational Audits

(e.g. Audits of operations by department or organisation wide)

Theme-based Audits

(e.g. Compliance, due-diligence, pre-acquisition)

Relationship Audits

(e.g. First-party, Second-party and Third-party)

Types of environmental audits

	First-Party Audit	Second-Party Audit	Third-Party Audit
Auditor	Internal	External (Relationship)	External (No relationship)
Auditee	Internal	Internal	Internal
Standards	Internal	External	External
Audit Report	Internal	External (within relationship)	External (within relationship)
Audit Outcome	Internal	External (within relationship)	External (within relationship)

Standards and other sources of guidance

ISO 19011:2018

Guidelines for auditing management systems

ISO/IEC 17021-1:2015

Conformity assessment — Requirements for bodies providing audit and certification of management systems —
Part 1: Requirements

Standards and other sources of guidance

[ISO 14001 Auditing Practices Group](#)

[The Value of Environmental Auditing and
10 Golden Rules of Remote Auditing](#)



Poll Question 2



Nigel Leehane
Undertaking Effective Audits

Undertaking effective audits

This is all about the auditor

- The role of an environmental auditor
- Developing auditing skills
- Adding value through environmental auditing
- The steps to becoming an IEMA registered auditor



The role of the auditor

The auditor is responsible for the successful completion of the audit

- Communicating with the auditee
- Managing audit activities, including other auditors
- Developing and reporting useful audit findings
- Closing out findings



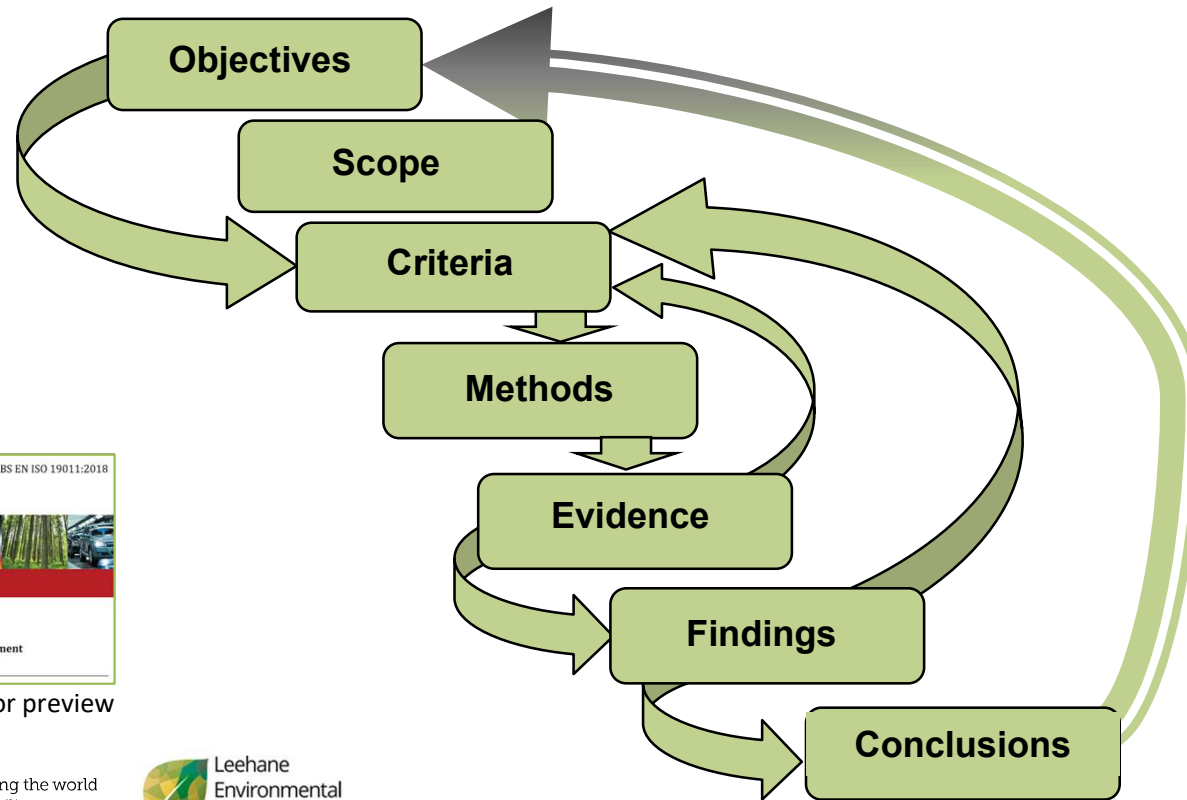
Conducting environmental audits – key activities

The (lead) auditor manages the following:

- Initial preparation – evaluation of the audit objective and its feasibility
- Detailed planning – the logistics and arrangements, team composition, resources, etc
- Conducting the audit – site visit, remote work, interviews, document review, observation
- Reporting the findings
- Closing out



The auditor and the audit process



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Challenges for an environmental auditor

Audits can pose a range of challenges, including:

- Lack of time or other resources
- Auditee staff unavailable
- Areas of sites inaccessible
- Poor communications technologies (for remote auditing)
- Nervous or evasive auditees
- Unexpected situations encountered (e.g. additional activities or processes, language barriers)
- Auditor competence is challenged (audit team needs all of the necessary competences to complete an audit, not every auditor)



Developing as an environmental auditor

How can auditors extend their competence?

- Knowledge is important
 - Academic background
 - Auditor training – for audit principles and processes
 - Business/technological training
- Skills are needed
 - Auditing techniques and practices
 - Soft skills!
- Experience is vital
 - Of the sector and its technologies and environmental issues
 - Through undertaking (mentored) audits



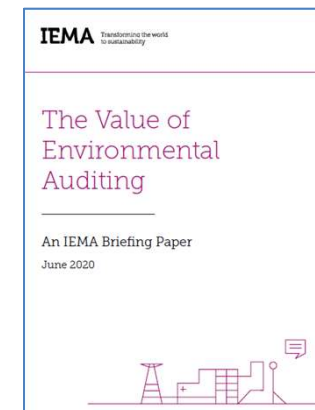
Desired personal behaviours of environmental auditors

- a. Ethical, i.e. fair, truthful, sincere, honest & discreet
- b. Open-minded, i.e. willing to consider alternative ideas or points of view
- c. Diplomatic, i.e. tactful in dealing with individuals
- d. Observant, i.e. actively observing physical surroundings & activities
- e. Perceptive, i.e. aware of and able to understand situations
- f. Versatile, i.e. able to readily adapt to different situations
- g. Tenacious, i.e. persistent and focused on achieving objectives
- h. Decisive, i.e. able to reach timely conclusions based on logical reasoning & analysis
- i. Self-reliant, i.e. able to act & function independently, while interacting effectively with others
- j. Able to act with fortitude, i.e. willing to act responsibly & ethically even though these actions may not always be popular & may sometimes result in disagreement or confrontation
- k. Open to improvement, i.e. willing to learn from situations
- l. Culturally sensitive, i.e. observant and respectful to the culture of the auditee
- m. Collaborative, i.e. effectively interacting with others

Adding value in environmental audits

Competent auditors can add value by:

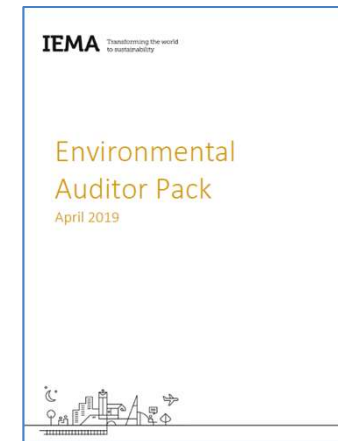
- Identifying opportunities to improve performance related to environmental aspects, of activities, products, processes, etc.
- Explaining to auditees why it is important for them to contribute to effective environmental management
- Identifying risks, from nonconformance or noncompliance, environmental conditions and other external factors
- Providing information on performance and trends to allow management to take decisions
- Helping the organisation to improve and thrive



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Applying to become an IEMA registered auditor

- Various registration levels
 - Associate Environmental Auditor (entry level)
 - Environmental Auditor
 - Principal Environmental Auditor
 - EMS Auditor (typically internal)
 - Lead EMS Auditor
- Outline of the application process (see the guide)
- Requirements
 - Academic achievements/training
 - Experience
 - Submission and interview (Principal only)

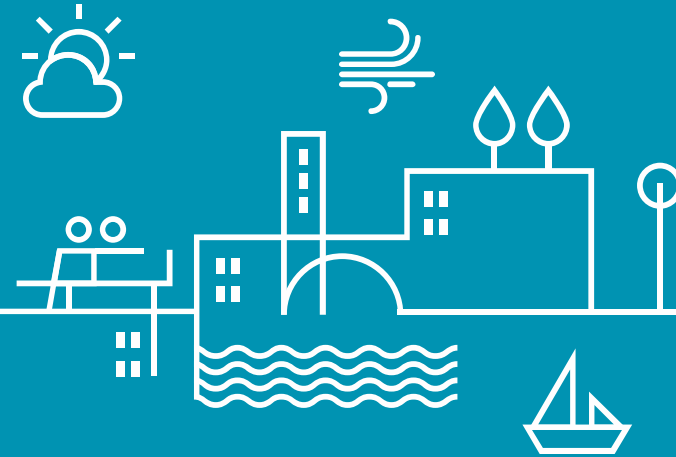


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2021 environmental auditing webinar programme

Throughout 2021 and beyond, IEMA will be delivering a programme of environmental auditing webinars

- **Pillars of environmental auditing**, potentially including topics such as how to plan effective environmental audits, dealing with compliance, raising and categorising findings, communicating and reporting, etc.
- **Advanced practices in environmental auditing**, potentially addressing supply chain audits, due diligence, advances in remote auditing, carbon disclosures, etc.
- Please use the chat function to submit topics you would like included



Poll Question 3



Questions and Answers

Speakers



Marc Jourdan
Policy and
Engagement Lead

IEMA



Matthew Goldberg
MIEMA
Environmental Assurance
Manager

National Grid Gas



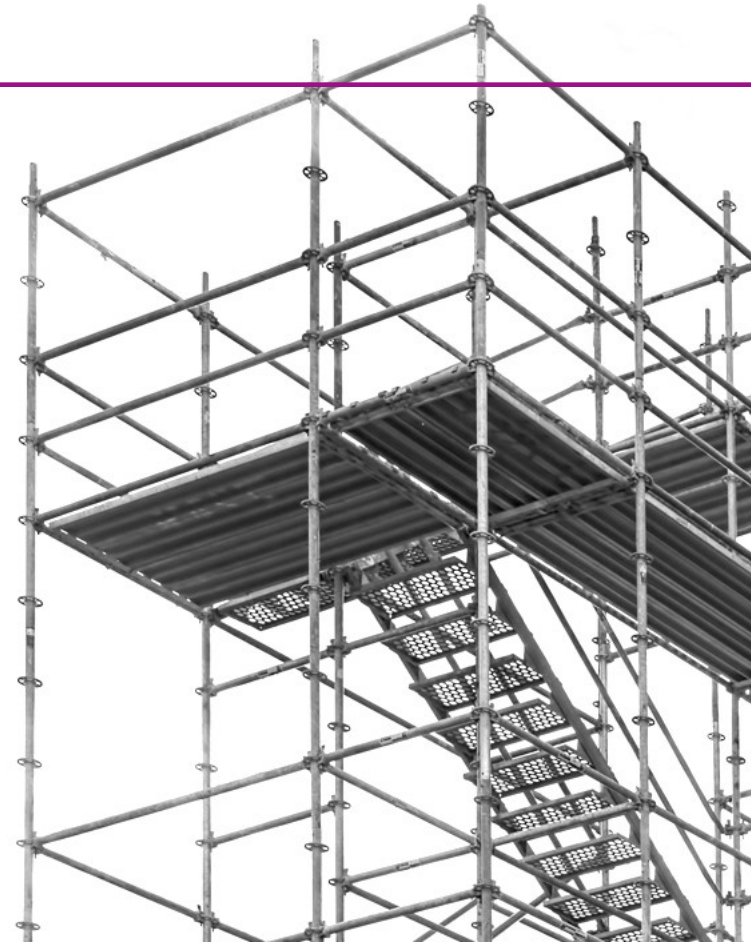
Nigel Leehane
FIEMA
Director

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Environmental
Consulting Ltd**

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Where next?

- Record your CPD on IEMA's new CPD Portal: Plan, record and reflect on your learning.
- Join us at an event near you on www.iema.net/events



Thanks for joining us

You'll be sent a link to the slides &
recording from today's session

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