



**IATCA CRITERIA FOR
ENVIRONMENTAL MANAGEMENT SYSTEM
AUDITOR TRAINING COURSES**

ISSUE 1

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IATCA CRITERIA FOR ENVIRONMENTAL MANAGEMENT SYSTEM AUDITOR TRAINING COURSES

Classification

This document is classified as an IATCA Criteria Document.

IATCA Criteria lay down the standard criteria which all members of IATCA undertake to adhere to in the operation of their auditor certification and / or training course approval programs. The Criteria will be the primary standards against which members will be assessed for membership in the IATCA Multilateral Recognition Agreement (MLA). Members of IATCA seeking membership of the IATCA MLA must conduct their operations in a way which conforms to all the requirements of the relevant IATCA Criteria.

IATCA Criteria are published on the authority of the Members of IATCA.

Authorization

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Availability

Copies of this document in English can be accessed on the IATCA Website at www.iatca.com. Members of IATCA may obtain an electronic version of this document from the Secretariat.

Enquiries and Availability

Enquiries regarding IATCA documents should be referred in the first instance to a Member of IATCA or to the Secretariat. Copies of this document in English are available on the IATCA Website at <www.iatca.com>. Electronic versions of these documents are available to Members of IATCA, in Word format, from the Secretariat.

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Preface

The following Criteria have been prepared by IATCA for the purposes of providing students intending to be certified as IATCA auditors with a uniform, internationally-recognized, standard of training in auditing management systems.

These Criteria are intended for application by auditor training course approval bodies that intend to become, or are existing, signatories to the IATCA MLA, as a training course approval body. (Note - the term “approval” is used throughout this document as meaning the assessment for conformity of training. Alternative words such as “accreditation” or “registration” that have similar meanings may be substituted.)

These criteria have been developed using relevant ISO reference standards, taking into account the collective wisdom of the members of IATCA and the requirements of both industry and certification bodies/registrars.

These criteria define part of the requirements that all signatories to the IATCA MLA, as training course approval bodies, undertake to apply in the operation of their training course approval programs. Their effective implementation will be assessed as part of the requirements for entry into, and continuation within, the IATCA MLA, as a training course approval body.

The authority to award IATCA recognition to auditor training course providers (and to the courses they provide) is only available to those training approval bodies that:

- are members of IATCA;
- operate an auditor training course approval program;
- operate their approval program in conformity with acceptable management control processes such as those defined in the relevant ISO/IEC Guides, other similar recognized and accepted international standards, and the IATCA Bylaws, Memorandum of Understanding, and Multilateral Recognition Agreement;
- have successfully demonstrated by peer evaluation that they satisfy the requirements to become members of the IATCA MLA, as a training course approval body;
- are signatories to the IATCA MLA, as a training course approval body; and
- demonstrate, as required from time to time, continued conformity with the approval Criteria.

Any auditor training course provider approved by a training approval body that is a signatory to the IATCA MLA, as a relevant training course approval body, is authorized to present “Certificates of Successful Completion” of an approved IATCA auditor training course.

These certificates will be recognized by all signatories of the IATCA MLA as evidence of satisfying the relevant formal training requirement for certification as an IATCA auditor.

This recognition will preclude the need for auditor training course providers to seek multiple approvals. However, those auditor training course providers that wish to pursue multiple approvals will still be able to do so, by making separate application to each auditor training course provider approval body.

All IATCA documents are published in English. The authoritative IATCA document is the English version which has the most recent date of issue. The Secretariat will list the most recent version of all relevant IATCA criteria on the IATCA Website at <www.iatca.com>.

These criteria may be used either in the format in which they are issued by IATCA, or they may be translated into the style and format of the approval body implementing them. Approval bodies intending to take such action shall do so in accordance with the IATCA Document Control Procedure, and advise the Secretariat of the action taken.

Information

For further information on IATCA or the IATCA auditor training course criteria, contact your local member of the association, or contact the Secretariat at the following:

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1 GENERAL

1.1 These criteria are intended for use by auditor training approval bodies (approval bodies) and auditor training course providers (course providers). They establish the requirements for course content and structure of the Environmental Management System Auditor Training Course. An approval body shall assess a training course for conformity against these criteria, and shall assess the respective training course provider for Conformity with the IATCA criteria document "Criteria for Training Course providers".

1.2 Approval of course providers has two components; approval of the management system and approval of the course content and structure of each course offered. The two approvals may occur either independently or together. In order to present an IATCA-recognized course, the course provider shall have both management system and the course content approved.

1.3 This criteria document is intended for use with the following IATCA criteria documents:

"Criteria for the Assessment of Training Course Providers and the Training Courses," which defines the process used by the approval body in conducting the assessment for approval; and

"Criteria for Training Course Providers," which defines the requirements for the management system of a course provider.

2 INTRODUCTION

An IATCA-conforming ISO 14001 1996 Series auditor training course shall provide training for potential auditors and audit team leaders in the principles and practices of auditing environmental management systems and of audit team management, as described in ISO 19011.

2.1 The primary focus of the training course shall be on training students to audit environmental management systems based on the ISO 14001: 1996 standard, or recognized national and international equivalents.

2.2 The training course provider shall:

- a) present the body of knowledge of EMS auditing in such a way that students are able to identify and understand good auditing practice; and
- b) encourage students to analyze critically their own performance as a means for developing effective auditor skills.

3 LEARNING OBJECTIVES

3.1 A student who successfully completes the course shall be able to demonstrate achievement of the learning objectives detailed in clauses 3.2 through to 3.7 inclusive.

3.2 General

3.2.1 A student who successfully completes the course shall be able to:

- a) describe the purpose of an environmental management system in controlling environmental impact;
- b) describe background and general environmental issues, and the concepts of environmental risk management and sustainable development and strategic business drivers; and
- c) make reference to key environmental legislation relevant to pollution control via emissions to air, discharges to water and disposal to land, including control over hazardous substances (this should include an overview of relevant international environmental treaties and agreements).

3.3 Standards

3.3.1 A student who successfully completes the course shall be able to:

- a) explain the purpose and intent of ISO 14001 and how it relates to the other ISO 14000 series documents, including available guidance on the application of the elements of ISO 14001;
- b) understand the background to development of the environmental management system standards and the current status of the ISO 14000 series;
- c) explain the requirements of the current version of the ISO 14001 and identify the objective evidence needed to show conformance and effectiveness of the entire environmental management system;
- d) describe the ongoing process of change in the ISO standards, the impact that changes in the ISO 14001 and ISO 19011 standards may have on the audit process, and the need for auditors to keep up to date;
- e) differentiate between documentation, and records;
- f) evaluate the differing needs for documentation in a variety of situations; and
- g) describe the difference between legal compliance and conformance with the ISO 14001 standard, and the significance of these terms when conducting audits.

3.4 Audit Process and Responsibilities

3.4.1 A student who successfully completes the course shall be able to:

- a) describe the systems of accredited certification / registration and the differing functions of the accreditation bodies, registrars / certification bodies, auditor certification bodies, training course approval bodies, and IATCA involved in certification / registration to ISO 14001;
- b) describe the EMS audit process and auditing principles, methodology and good practice as described in the current revision of ISO 19011;
- c) describe the International Accreditation Forum interpretations and guidelines for 3rd party certification bodies (registrars);
- d) describe the function of first, second, and third party audits, the similarities and differences, and the varying role of the auditor, the auditee and the client in the audit of each of these;
- e) describe the different types of environmental audits and assessments and relevant terminology;
- f) explain the need for confidentiality during all phases of the audit process;
- g) explain the etiquette of audit practice and the need for auditors to be sensitive to local customs and obey any rules and regulations of auditees, especially where issues of health and safety are involved;
- h) describe and undertake the responsibilities of an auditor and of an audit team leader;
- i) summarize the IATCA Criteria for Certification of Environmental Management System Auditors, national and other auditor certification programs, and the international recognition of IATCA certifications; and
- j) explain the IATCA Auditors' Code of Conduct.

3.5 Planning the Audit

3.5.1 A student who successfully completes the course shall be able to:

- a) plan and organize all aspects of an audit including document reviews and conformance evaluation activities;
- b) explain the importance of scope in relation to: the accreditation of registrars / certification bodies; the structure and content of the auditee's environmental management system; and the audit plan;
- c) select audit team members, their interrelationships, particularly with regard to the understanding of applicable environmental standards;

- d) explain the purpose of pre-audit visits and how to evaluate the desirability or need for such visits;
- e) identify the pre-audit information required to effectively plan the duration and the resources required to conduct an audit;
- f) produce tailored checklists for use during an audit; and
- g) explain the benefits and risks of the use of checklists during the audits.

3.6 Performing the Audit

3.6.1 A student who successfully completes the course shall be able to:

- a) evaluate an organisation's effective implementation of procedures and methodologies to conform with ISO 14001 with emphasis on the following three features:
 - (i) elements of an organisation's EMS including policy and procedures, records showing relevant legislation, environmental aspects and significant impacts, objectives, targets and programs for achieving continual improvement and prevention of pollution;
 - (ii) environmental aspects and methodologies for establishing significant impacts, management controls over operations and monitoring of performance; and
 - (iii) the rationale for setting priorities, objectives and targets for management programs to ensure that actions are taken to achieve planned improvements;
- b) perform an audit in accordance with the principles, process and methodology as described in the current revision of ISO 19011;
- c) manage audit opening and closing meetings and understand the purpose of holding regular meetings with the auditee during the audit;
- d) demonstrate effective interpersonal skills and interview techniques including an ability to listen and question;
- e) take notes during the audit process sufficient to provide objective evidence of system conformity as well as nonconformity with the criteria against which the audit is being conducted;
- f) explain the benefits and risks of sampling in audits; and
- g) collect and analyze evidence during the audit, relate specific situations to the appropriate elements of the standard, and exercise objectivity in the review of evidence collected.

3.7 Reporting and Following Up the Audit

3.7.1 A student who successfully completes the course shall be able to:

- a) summarize and record the results of an audit and demonstrate the ability to produce concise reports;
- b) evaluate the significance of nonconformities recorded during the audit and classify them in accordance with the systems defined by the manager of the audit program. (The interpretations taught during the training program shall be acceptable for this evaluation.);
- c) write nonconformity reports based on objective evidence obtained during the course of the audit;
- d) evaluate proposals for corrective and preventive actions proposed in response to nonconformities recorded during an audit, and understand the process for evaluating the effectiveness of corrective and preventive actions taken;
- e) make recommendations on the acceptability of a management system for certification / registration based on objective evidence obtained during the audit; and
- f) explain the purpose of ongoing surveillance audits.

3.8 The training course provider may develop more detailed learning objectives, as appropriate.

3.9 Students' achievement of the learning objectives shall be measured by the training provider.

4 COURSE CONTENT

4.1 Early in the course presentation the course provider shall provide to the students a description of the course format, student responsibilities, how the students will be evaluated, and the basis for each type of evaluation.

4.2 The course content shall cover:

- a) all aspects defined under Learning Objectives; and
- b) local requirements, culture, practice or approaches to auditing and the application of ISO 14001, as appropriate.

5 COURSE STRUCTURE AND FACILITIES

5.1 Duration and Organization

5.1.1 The total course time devoted to direct instruction and to assigned team and individual activities shall be at least 40 hours.

5.1.2 If the course is given through interpreters, the time shall be increased as required to meet the learning objectives.

5.1.3 Time devoted to the examination and to meals, breaks or other free time is not included in the calculation of the course duration.

5.1.4 The course shall be presented during five consecutive days, unless otherwise authorized by the approval body.

5.2 Training Methods

5.2.1 Training courses shall be designed to have a high degree of interaction between students and instructors. Training methods shall seek to involve and engage students throughout the duration of the course.

5.2.2 The training course shall include both knowledge-based sessions (to facilitate understanding of concepts) and skill-based sessions (application of knowledge and skills in practical activities) and each student shall be subjected to realistic environmental management system audit practices and conditions.

5.2.3 Knowledge-based sessions may be instructor led, but shall allow for some interaction with students, enabling instructors to test learning and students to clarify their understanding, as required.

5.2.4 Skills-based sessions may be supported by instructor input to address the relevant requirements and techniques such as for managing meetings and interviews.

5.2.5 Methods for validating student achievement of the learning objectives and for providing timely feedback shall be included in the course.

5.2.6 Each student shall be required to participate in practical skills-based activities: workshops, case studies, auditor role playing or actual environmental management system audit situations. At least 50% of course time shall be used for such activities.

5.2.7 When students participate in actual EMS audit situations, two-thirds of the time spent conducting such EMS audits shall count towards the total course time. Transit time to and from the audit site and any delay time is not to be counted.

5.2.8 Instructors shall demonstrate effective management of the course, including attention to time schedule, course content, requirements of the standard, instructor conduct, and other course requirements.

5.2.9 Training aids, such as videos, that are directly relevant may be used to supplement the training by the instructors. These may be commercial training videos or videos produced during the course to record and review the performance of students. No more than three hours of the total course time may be devoted to non-interactive, passive training aids.

5.3 Class Size; Attendance

5.3.1 The number of students in a class shall be no greater than twenty, nor fewer than four.

5.3.2 Under rare and exceptional circumstances, a course offering for fewer than four students or more than twenty students may be considered for approval in accordance with section 7.

5.3.3 Students shall be required to be in attendance for the full duration of the course. Failure to do so shall be reflected in the student's continuous and final evaluations.

5.4 Number of Instructors

5.4.1 Each course offering for eleven or more students shall be presented by at least two instructors, who shall be actively involved in either instruction or evaluation for the full duration of the course. Additional resource people or trainee instructors may be used for specific subjects or activities; however, the two instructors remain responsible for the entire course offering.

5.4.2 When specific activities (e.g. written quizzes or preparation of checklists) involve neither instruction nor evaluation, and do not require the availability of the instructors for explanation, clarification or counsel, only one instructor shall be present.

5.4.3 When the number of students is four to ten, the course may be presented by one instructor.

5.5 Course Materials

5.5.1 Each student shall be provided with a complete set of course notes to supplement the training program.

5.5.2 The documents included in the course notes shall themselves illustrate good organization, layout and document management practices, including document revision level and appropriate page numbering.

5.5.3 The set of course notes shall prominently identify the approved course provider (e.g., the cover page).

5.5.4 The student notes shall cover each session and shall include all important points of the element being covered.

5.5.5 Examples of typical documents, reports and forms shall be included.

5.5.6 Course notes may include typical examination questions, provided they are not used in any of the examinations, either during the course or following the course.

5.5.7 Each student shall have a copy of the current revision of ISO 14001. If the standard is not supplied as part of the course notes, each student shall be required to take a copy to the course. A copy shall be made available for loan to any student who does not have one.

5.6 Facilities

5.6.1 The course provider shall see that suitable facilities for training are provided, including classroom, audio-visual and other training equipment, and facilities for team activities.

5.6.2 The course provider shall encourage students to be resident at or near the location of the course offering, since this enhances participation in team activities and student contact with the instructors outside the structured class setting.

6 EVALUATION OF STUDENTS

6.1 Each student shall be evaluated using the following two independent elements, both of which shall be satisfied if the student is to successfully complete the course:

- a) the continual evaluation by the instructors/trainee instructors of each student's achievement of the Learning Objectives detailed in section 3 above; and
- b) a written examination that tests students' ability to apply audit principles and practices against the requirements of ISO 14001.

6.2 Continual Evaluation

6.2.1 The continual evaluation shall be documented and shall evaluate each student's :

- a) achievement of the learning objectives to include, but need not be limited to the following learning objectives: 3.3.1c) 3.5.1a), 3.5.1e), 3.5.1f), 3.6.1a), 3.6.1b), 3.6.1c), 3.6.1d), 3.6.1e), 3.6.1g), 3.7.1; and
- b) attendance and punctuality during the course.

6.2.2 Each student's performance shall be reviewed at the end of each day by the instructor(s). A daily grade shall be assigned for each student, reflecting the assessment of both instructors.

6.2.3 Course instructors shall identify students who appear to be having difficulty in achieving the learning objectives or who are not performing adequately in course activities. Such students shall be informed privately and in a timely manner of the instructor's observations and be given the opportunity to improve.

6.2.4 A student who fails the continual development evaluation must satisfactorily complete another full training course before being eligible to receive a certificate of successful completion.

6.3 Written Examination

6.3.1 The written examination shall evaluate the students' comprehension of the learning objectives and in particular the application of audit principles and practices to ISO 14001, and their ability to provide written justification of their evaluations.

6.3.2 The examination shall be designed to be completed in two hours by a student who has adequate comprehension of the course content and who has achieved the course learning objectives.

6.3.3 The time allotted for taking the examination shall be two hours. Strict adherence to the time limit is to be maintained.

6.3.4 The instructor(s) or proctor(s) may allow a student whose primary language is not the language in which the course is conducted up to 30 minutes additional time for taking the written examination. The student may use an appropriate two language dictionary. Any such allowance shall be indicated in the records of the course or of the examination, with supporting reasons.

6.3.5 The instructor(s) or proctor(s) may allow a student with a particular disability that adversely affects the student's capability to complete the examination in the allotted time up to 30 minutes additional time for taking the written examination. Any such allowance shall be indicated in the records of the course or of the examination, with supporting reasons.

6.3.6 At least 75% of the examination grade shall be based on questions that require essay responses and shall demonstrate the student's ability to analyze audit scenarios and understanding of how to apply the ISO 14001 standard during an audit.

6.3.7 The remainder of the examination grade shall be based on multiple choice, true/false or short answer questions.

6.3.8 The minimum passing grade shall be 70%.

6.3.9 The only reference material allowed during the examination is a copy of the ISO 14001 standard, the course notes provided by the course provider and any personal notes made by the student during the course.

6.3.10 The approval body may, at its option, specify that the examination be administered:

- a) by the course provider, or
- b) by another designated authority; and
- c) at the conclusion of the training course, or
- d) at some later time, but no later than six months after the conclusion of the training course.

6.3.11 Copies of examination questions (other than those in an example examination paper), examination papers, solutions or completed examination papers shall not be supplied to any student or any other party (except to the approval body) for any reason.

6.3.12 Training course providers shall, where possible, ensure that the instructor(s) for any given course presentation, and/or any designated authority (see 6.3.10 above) are not aware of the examination paper to be used for that presentation.

6.4 Grading; Pass/Fail Decisions

6.4.1 When the examination is given by the course provider, each examination paper shall be graded by one of the instructors. Another instructor shall check the addition of the score allocated in each section and re-grade all examination papers with scores below 76 percent.

6.4.2 The course provider shall have procedures to resolve any differences in grading and issue final grades.

6.4.3 If the course is given through interpreters, the translators who translate the students' written examination answers shall be selected by the course provider in such a way that the course provider is confident that they provide impartial, knowledgeable and accurate translations.

6.4.4 When the examination is given by a body other than the course provider, each examination paper shall be graded by one of its graders. Another grader shall check the addition of the score allocated in each section and re-grade all examination papers with scores below 76 percent.

6.4.5 A student who fails the continuous evaluation must successfully complete another full training course before being eligible to receive a certificate of successful completion.

6.5 Re-examination

6.5.1 A student who fails the written examination, but has passed the continual evaluation, shall be allowed one re-examination within twelve months of the last day of the course.

6.5.2 The re-examination shall normally be conducted by the same body which conducted the (failed) examination.

6.5.3 If the approval body gives its approval, a different body may conduct the re-examination. This should be submitted to the approval body as a variation request, which shall only be granted where the approval body is confident that the examination will be administered according to the requirements in section 6.3 above.

6.5.4 A different examination paper shall be used for the re-examination.

6.5.5 The re-examination shall be taken in the presence of an approved proctor as described in the examining body's procedures.

6.5.6 A student who fails the re-examination must take a full training course again before being eligible to take another examination.

7 VARIATIONS

7.1 Variations to any of these criteria shall be considered for approval upon written submission by the course provider to approval body. Any such request shall be made immediately upon the reason for the variation request becoming known. The approval body shall respond in writing. Should the variation sought be a substantial change to the intent of these criteria, the approval body shall seek the approval of the IATCA Secretariat before agreeing to it.

7.2 When evaluating a request for variance the approval body shall take into account the course provider's:

- a) reasons for the requested variance;
- b) rationale for the requested variance;
- c) modified training plan and/or revised course outline; and
- d) assessment of impact on the learning process.

END OF CRITERIA