

Please email this form, together with all supporting documents to

[auditors@quality.org](mailto:auditors@quality.org)

## Your details

All parts of this application must be completed in BLOCK CAPITALS and in English.  
If you need more space than the form allows please continue on additional, clearly marked pages.

### Personal details

**Your Auditor Certification no.**

**Title**

**First name**

**Last name**

**Telephone**

**Email**

**Date of Birth**

## Requirements

Transitioning your Auditor Certification to new ISO 14001:2015 standard normally requires you to attend a CQI/IRCA Auditor Transition Training Course. However, we acknowledge that not everybody will have an opportunity to attend such a training course, which is why we have created an alternative route for Auditor Transition, applying the following Criteria:

## Knowledge

The ability to communicate any changes in EMS specific requirements arising as a result of transitioning from ISO 14001:2004 to ISO 14001:2015.

### 1. With reference to Annex SL, Appendix 2

- 1.1 Understanding of the purpose of Annex SL Appendix 2 and its use by standards writers.
- 1.2 Understanding the framework for a generic management system standard and being able to make reference to the high-level structure and drawing comparison with previous management system standards where appropriate.
- 1.3 Understanding new and revised terms and definitions – including interested party, risk and opportunities, competence, documented information, and performance and monitoring – referencing previously used terms and definitions where appropriate.
- 1.4 Being able to understand the relationship between external and internal issues, the relevant requirements of relevant interested parties, the actions to address risks and opportunities, and the management system processes needed to implement them.

### 2. Context of the organisation

- 2.1 Understanding of the business environment in which the organisation operates.
- 2.2 Understanding the organisation and its context, understanding the relevant requirements of relevant interested parties, and determining the boundaries and applicability of the management system to establish its scope.

### 3. Leadership

- 3.1 Understand the new and enhanced requirements for leadership including management systems policy.

## 4. Planning

- 4.1 Understanding the requirements for planning the management system, taking into consideration the organisation and its context, and the needs and expectations of interested parties.
- 4.2 Understanding the requirements for determining and addressing risks and opportunities.

## 5. Support

- 5.1 Understanding new and enhanced requirements for awareness and communication.
- 5.2 Understanding how Annex SL requirements for documented information differ from previous management system standard requirements.

## 6. Operation

- 6.1 Being able to outline the new and enhanced requirements for operational planning and control concerning outsourcing and relating this to the context of the organisation and planning, and the relevant needs and expectations of relevant interested parties.

## Skills

Skills must be demonstrated by providing relevant examples of practical application in form of a Case Study and submission of related documents (e.g. Audit Plan, Audit Report, List of Findings) for an organisation that has been audited by the applicant against ISO 14001:2015

### 1. Planning and Conducting the audit

- 1.1 Establish that the scope and criteria for an audit are appropriate.
- 1.2 Prepare an on-site audit plan that is appropriate for the organisation's context and processes.
- 1.3 Demonstrate the ability to collect and verify appropriate audit evidence, including appropriate sampling.

### 2. Auditing Quality Management System requirements

- 2.1 Verify that information about external and internal issues, and relevant interested parties and their relevant requirements, has been monitored and reviewed.
- 2.2 Verify that the scope of the EMS is available as documented information, stating the:
  - 2.2.1 Organisational unit(s), function(s) and physical boundaries.
  - 2.2.2 Activities, products and services.
  - 2.2.3 Authority and ability to exercise control and influence.

- 2.3 Verify that the EMS policy and objectives have been established by top management and that they:
  - 2.3.1 Are compatible with the organisation's strategic direction.
  - 2.3.2 Have been communicated with the management system policy to relevant interested parties.
- 2.4 Verify that top management has:
  - 2.4.1 Promoted the use of the process approach and risk-based thinking.
  - 2.4.2 Assigned the responsibility and authority for ensuring that the processes are delivering their intended outputs.
- 2.5 Evaluate the actions to address risks and opportunities, to ensure that the EMS meets its intended result(s), and that it prevents (or reduces) undesired effects. These should take into consideration:
  - 2.5.1 The external and internal issues.
  - 2.5.2 The relevant requirements of relevant interested parties.
- 2.6 Verify that these actions (see 2.5) have been implemented and integrated into the EMS.
- 2.7 Evaluate the internal and external communication process.
- 2.8 Verify that the environmental policy includes a commitment to the protection of the environment, with prevention of pollution.
- 2.9 Verify that documented information is maintained, containing:
  - 2.9.1 Criteria used to determine the significant environmental aspects.
  - 2.9.2 Environmental aspects associated with environmental impacts.
- 2.10 Evaluate the indicators for monitoring progress toward achievement of measurable environmental objectives.
- 2.11 Evaluate how the organisation:
  - 2.11.1 Determines environmental requirements for the procurement of products and services, as appropriate.
  - 2.11.2 Establishes controls to ensure that environmental requirements are considered in the design and development, as appropriate.
  - 2.11.3 Communicates relevant environmental requirement(s) to external providers, including contractors.

- 2.12 Evaluate the organisation's knowledge and understanding of conforming with compliance obligations and the trends in achieving them.
- 2.13 Verify that the management review considers the extent to which objectives have been achieved.

### 3. Generating audit findings

- 3.1 Demonstrate the ability to evaluate audit evidence to identify correctly conformity and nonconformity with requirements. Particular emphasis should be placed on:
  - The context of the organisation
  - Internal and external issues
  - Relevant interested parties
  - Top management (Clause 5)
  - Actions to address risks and opportunities (Clause 6.1)
  - Operational planning and control (Clause 8.1).

## A. Knowledge

The ability to communicate any changes in EMS specific requirements arising as a result of transitioning from ISO 14001:2004 to ISO 14001:2015.

### I. Annex SL/High Level Structure

Briefly describe the framework for a generic management system in accordance with Annex SL/the high-level structure and how this is influenced by the relationship between external and internal issues, the requirements of relevant interested parties and the actions to address risks and opportunities. Include the typical documentation an organisation would require to achieve this. Please draw comparison with previous management system standards where appropriate. (Maximum 300 words)

## 2. Context of the organisation

Briefly describe how an organisation would identify and document its context and how they would define the scope of its Environmental Management System. (Maximum 300 words)

### 3. Leadership

Please describe the new and enhanced requirements for leadership and the resulting impact on an Environmental Management Systems' policy. (Maximum 300 words)

## 4. Planning

Please describe how the context of the organisation, the needs and expectation of interested parties and the requirements for determining and addressing risks and opportunities influence the planning of the Environmental Management System. (Maximum 300 words)

## 5. Support

Please demonstrate your understanding of the new and enhanced requirements for awareness and communication and how the requirement for documented information differs from previous Environmental Management System standards. (Maximum 300 words)

## 6. Operation

Please outline the new and enhanced requirements for operational planning and control, especially concerning outsourcing, and also explain how this relates to the context of the organisation and the needs and expectations of relevant interested parties. (Maximum 300 words)

## B. Skills

Skills must be demonstrated by providing relevant examples of practical application in form of a Case Study and submission of related documents (e.g. Audit Plan, Audit Report, List of Findings) for an organisation that has been audited by the applicant against ISO 14001:2015

Please provide a full set of documentation for a First, Second or Third Party Audit you have carried out against ISO 14001:2015, containing as a minimum:

- The Audit Plan
- The Scope of the Organisation's Quality Management System
- The resulting Audit Report
- The resulting Findings Report
- Any Checklists or Aids used during the audit

### Evidence references

Please list below all pieces of evidence submitted from your audit. Make sure the title of your evidence and the reference number appears at the top of each attached document.

REFERENCE	HEADING / TITLE OF MY EVIDENCE
e.g. Audit Plan; Checklist 001 etc.	

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# ISO 14001:2015 Auditor Transition (EMS)

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Please describe how this audit against the new ISO 14001:2015 standard has differed from previous audits against the ISO 14001:2004 standard, especially with regards to the skills-based Criteria as outlined above regarding Planning and Conducting the audit, Auditing Environmental Management System requirements and Generating audit findings. (Maximum 500 words)

## Application checklist

I have provided;

### A. Knowledge

Written statements about my understanding of the new standard requirements with regards to the Annex SL/ High Level Structure for Management Systems and the specific implications for ISO 14001:2015

### B. Skills

A full set of documentation for a First, Second or Third Party Audit I have carried out against ISO 14001:2015

A Written statement about the difference carrying out an audit against the new ISO 14001:2015 as opposed to previous audits I have carried out against ISO 14001:2004, taking into account key skills-based Criteria as outlined under "Skills 1.-3." above.

## Your declaration

By supplying your details you are allowing the CQI and IRCA to process your personal data in relation to your transition assessment.

I confirm that the information supplied in relation to this submission is correct. If necessary, I agree for the CQI and IRCA to contact the relevant parties to verify the the authenticity of my evidence.

Signature

Date