

REVIEW ARTICLE

IMPROVEMENT THE AUDITING QUALITY OF ENVIRONMENTAL MANAGEMENT SYSTEM AND OCCUPATIONAL HEALTH AND SAFETY MANAGEMENT SYSTEM BASED ON ISO14001 AND ISO45001

Zhaoying Zuo*, Wenju Tian, Bowen He, Quanzhen Cao, Changxiang Dongye, Weijian Jia

Rizhao Inspection and Certification Company, Rizhao 276826, China
*Corresponding Author Email: 836594289@qq.com

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ABSTRACT

The paper put forward the way of improving auditing quality based on ISO45001 and ISO14001 from the angle of ISO45001 and ISO14001 auditors should abide by the audit criteria, the ISO45001 and ISO14001 audit based on process method should be strengthened and the effectiveness of audit should be improved, the ISO45001 and ISO14001 audit team leader should consider the effective and efficient use of the audit team and the different roles and responsibilities of auditors, intern auditors and technical experts. The paper is of great significance for ISO45001 and ISO14001 auditing.

KEYWORDS

Environmental Management System; Occupational Health and Safety; Audit Quality

1. INTRODUCTION

Environmental management system is a system and database which integrates procedures and processes for training of personnel, monitoring, summarizing, and reporting of specialized environmental performance information to internal and external stakeholders of a firm (Sroufe, 2003). The most widely used standard on which an environmental management system is based is ISO 14001 (Melynk et al., 2003). The ISO 14000 family of standards are developed by ISO/TC 207 and its subcommittees. The standards provides practical tools for companies and organizations of all kinds looking to manage their environmental responsibilities. ISO 14001:2015 and its supporting standards focus on environmental systems to achieve this. The other standards in the family focus on specific approaches such as audits, communications, labelling and life cycle analysis, as well as environmental challenges such as climate change. ISO 45001:2018 specifies requirements for an occupational health and safety management system, and gives guidance for its use, to enable organizations to provide safe and healthy workplaces by preventing work-related injury and ill health, as well as by proactively improving its OH&S performance. ISO 45001:2018 is applicable to any organization that wishes to establish, implement and maintain an OH&S management system to improve occupational health and safety, eliminate hazards and minimize OH&S risks, take advantage of OH&S opportunities, and address OH&S management system nonconformities associated with its activities (Santos et al., 2011; Fernandez-Muniz et al., 2012; Mohammadfam et al., 2017).

2. IMPROVEMENT OF AUDIT QUALITY BASED ON ISO45001 AND ISO14001

Firstly, ISO45001 and ISO14001 auditors should abide by the audit criteria. The ability to communicate with and be flexible with people

includes the ability to communicate with people flexibly and flexibly. For ISO45001 and ISO14001 auditors, preciseness and impartiality are the most basic requirements. Audit findings, audit conclusions and audit reports should truly and accurately reflect the whole audit activity, and should be independent of the audit activities. Fairness is the necessary condition for the certification body to be trusted by customers. In the ISO45001 and ISO14001 audit process, the audit evidence should be based on the available information samples, and the audit evidence should be verifiable. Appropriate audit techniques should be adopted during on-site audit, such as interview, consulting documents and records, observing the implementation of the work site, repeating the completed work, etc. ISO45001 and ISO14001 auditors should have the personal quality to draw conclusions based on logical reasoning and analysis, and determine the processes and activities to be investigated within the scope of audit according to the audit purpose and audit plan, and in accordance with the requirements of audit criteria. The threats to justice mainly include the threat of self-interest, self-evaluation, familiarity and trust, and coercion. ISO45001 and ISO14001 auditors should have the professional quality of working independently and playing a role in effective communication with others. If the auditor for the immediate interests, will destroy their own credibility and the credibility of the certification body. The essence of the hidden rules is to accommodate the unreasonable requirements of enterprises, issue untrue authentication conclusions and pass false information to the end users.

Secondly, the ISO45001 and ISO14001 audit based on process method should be strengthened and the effectiveness of audit should be improved. First of all, the ISO45001 and ISO14001 audit based on procedure method and audit based on process method reflect two audit ideas. The former is to complete the task in accordance with the rules and do what is told to do.

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The latter is based on the process and performance indicators determined by the audited enterprise, and takes the performance of the enterprise as the main clue to judge the conformity of process activities and standards from the overall perspective of quality management system. The audit of process method is helpful to find out whether the auditee's quality management system is consistent with the actual operation, which has the characteristics of customer orientation, process orientation, result orientation and attention to the continuous improvement of quality management system. The audit based on process method can also pay attention to the systematization of quality objectives and their relationship with process systematization, and pay more attention to the interface between processes, so as to break the boundaries between functional units and departments, and to find out the disharmony between system and subsystem objectives, which is helpful for enterprises to identify non value added processes and find the root causes of problems in enterprises. At the same time, ISO45001 and ISO14001 auditors ask questions around the process related activities rather than according to the standard terms. The audited enterprises can understand the audit method more easily, and the professional advantages of professional auditors can be better played. Compliance audit mainly focuses on the enterprise's understanding and meeting the requirements of certification standards and other normative documents; effectiveness audit focuses on the implementation of quality management system and the effectiveness of the overall system. When evaluating the quality management system of an enterprise, ISO45001 and ISO14001 auditors need to put forward four questions for each process: whether the process has been identified and properly defined, whether the responsibilities have been assigned, whether the procedures are implemented and maintained, and whether the process is effective. There are many ways to audit around these issues. If the audit method of "inspection, measure, planning and Implementation (CAPD)" can be adopted, that is to judge the planning and related support activities of the process based on the operation results of the process, and look for the improvement opportunities of the relevant process. According to the comparison between the current performance of the process and the expected performance, the ISO45001 and ISO14001 auditor can judge the possible factors such as the person, machine, material, method, environment and measurement that affect the process result. The focus of the next audit. In addition, with the continuous improvement of customer requirements, it is necessary to propose more verification schemes for different certification purposes. In addition to the traditional methods, key raw material traceability, individual characteristic index comparison, best production method comparison and customer demand survey can be introduced in the audit process. Only when the certification body is familiar with the product and service field of the enterprise, can it communicate with customers in the language of the industry, and it is possible to find the quality problems existing in the enterprise and put

forward improvement suggestions in the audit process, so as to realize value-added services and obtain the recognition of customers.

Thirdly, Also, the certification body should reasonably allocate audit activities for specific processes, sites, regions or activities to audit team members. Technical experts should not act as auditors in the audit team, but should be accompanied by auditors. The ISO45001 and ISO14001 audit team should ensure that observers and guides do not interfere in the audit process or audit results.

3. CONCLUSION

The paper put forward the way of improving audit quality based on ISO45001 and ISO14001 from the angel of ISO45001 and ISO14001 auditors should abide by the audit criteria, the ISO45001 and ISO14001 audit based on process method should be strengthened and the effectiveness of audit should be improved, the ISO45001 and ISO14001 audit team leader should consider the effective and efficient use of the audit team and the different roles and responsibilities of auditors, intern auditors and technical experts. The paper is of great significance for ISO45001 and ISO14001 auditing.

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