



# EU-China CDM Facilitation Project Workshop on Accreditation

Auditing Knowledge

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- “Auditing Knowledge”

**Sectoral Scope Skills**

**Auditing Skills**



**CDM Skills**

## ■ ISO 19011

Guidelines for quality and/or environmental management system **auditing**

**Auditing** (internal or external)

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

**Audit evidence**

Records, statements of fact or other information, which are relevant to the **audit criteria** and which are verifiable

**Audit criteria**

Set of policies, procedures or requirements used as a reference

## ■ Audit principle (ISO 19011)

- Ethical conduct
- Fair presentation
- Due professional care
- Independence
- Evidence

# ■ Audit Program

## **Audit program**

Set of one or more audits planned for a specific time frame and directed towards a specific purpose (ISO 19011)

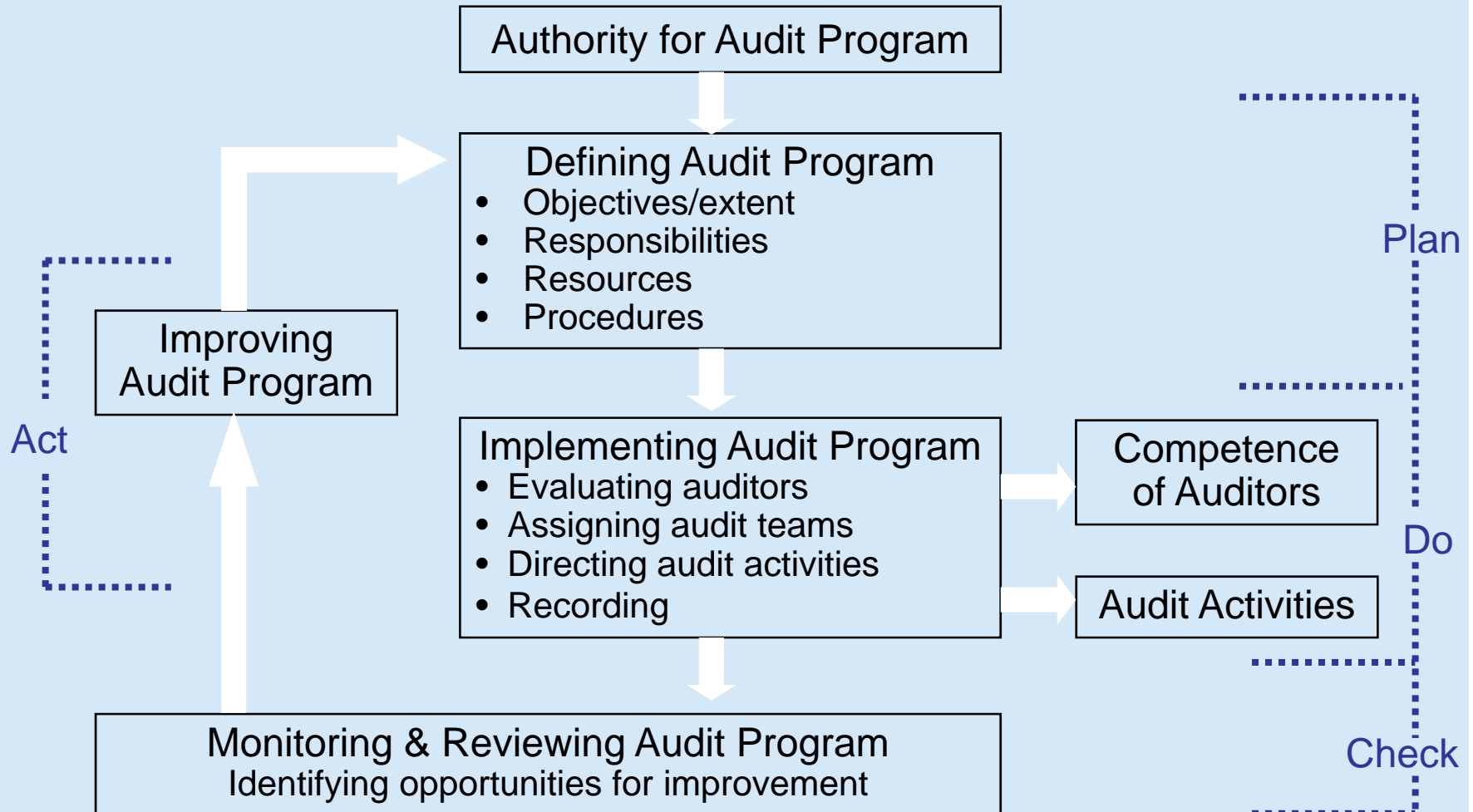
DOE's top management should grant the authority for managing the audit program. Those responsible for managing the audit program should:

- establish the objectives and extent of the audit program
- establish the responsibilities, resources and procedures
- ensure the implementation of the audit program
- monitor, review and improve the audit program
- ensure that appropriate audit program records are maintained

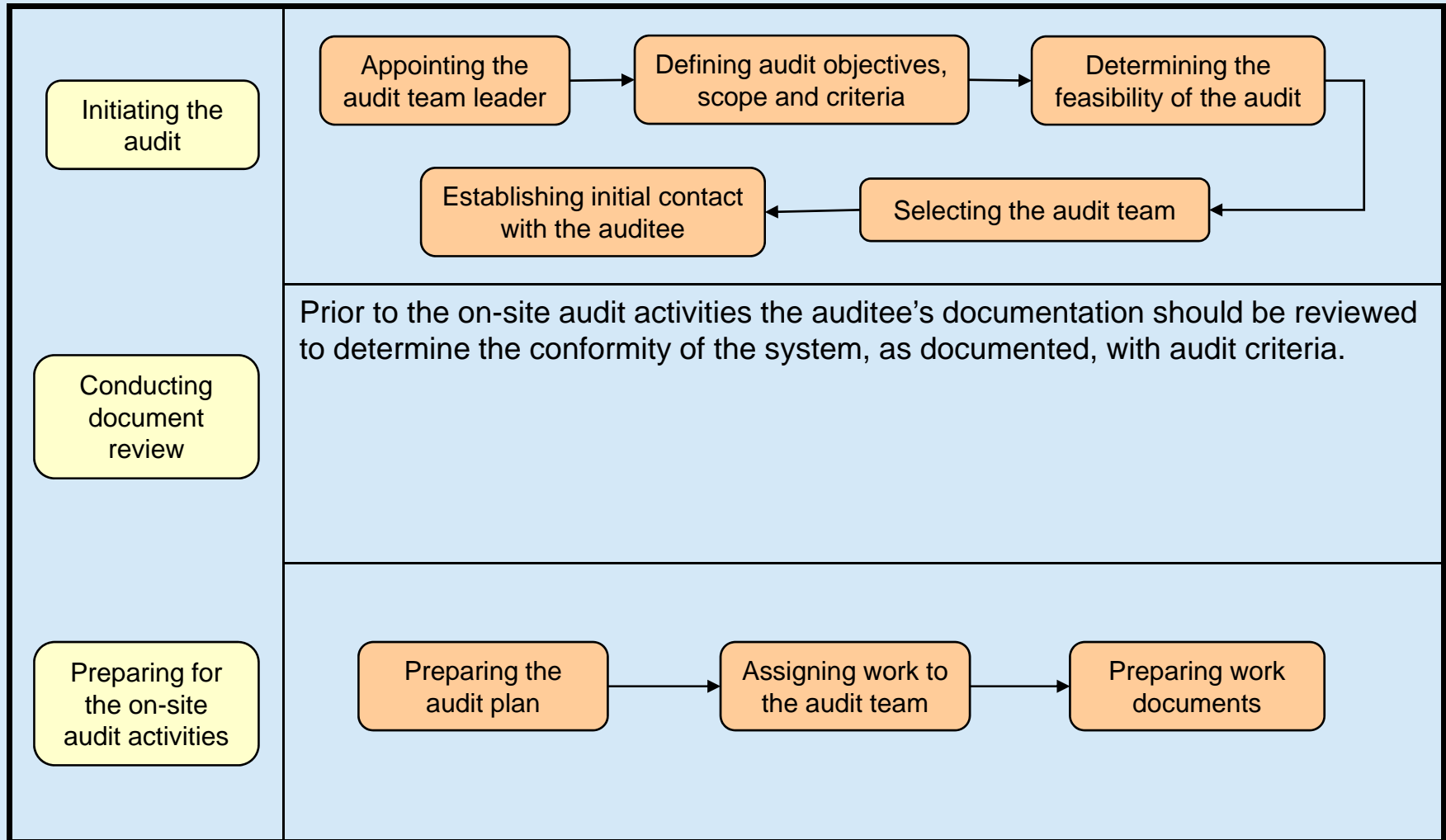
## ■ Audit principle

- **Plan:** Establishing the audit program
- **Do:** Implementing the audit program
- **Check:** Monitoring and reviewing the audit program
- **Act:** Improving the audit program

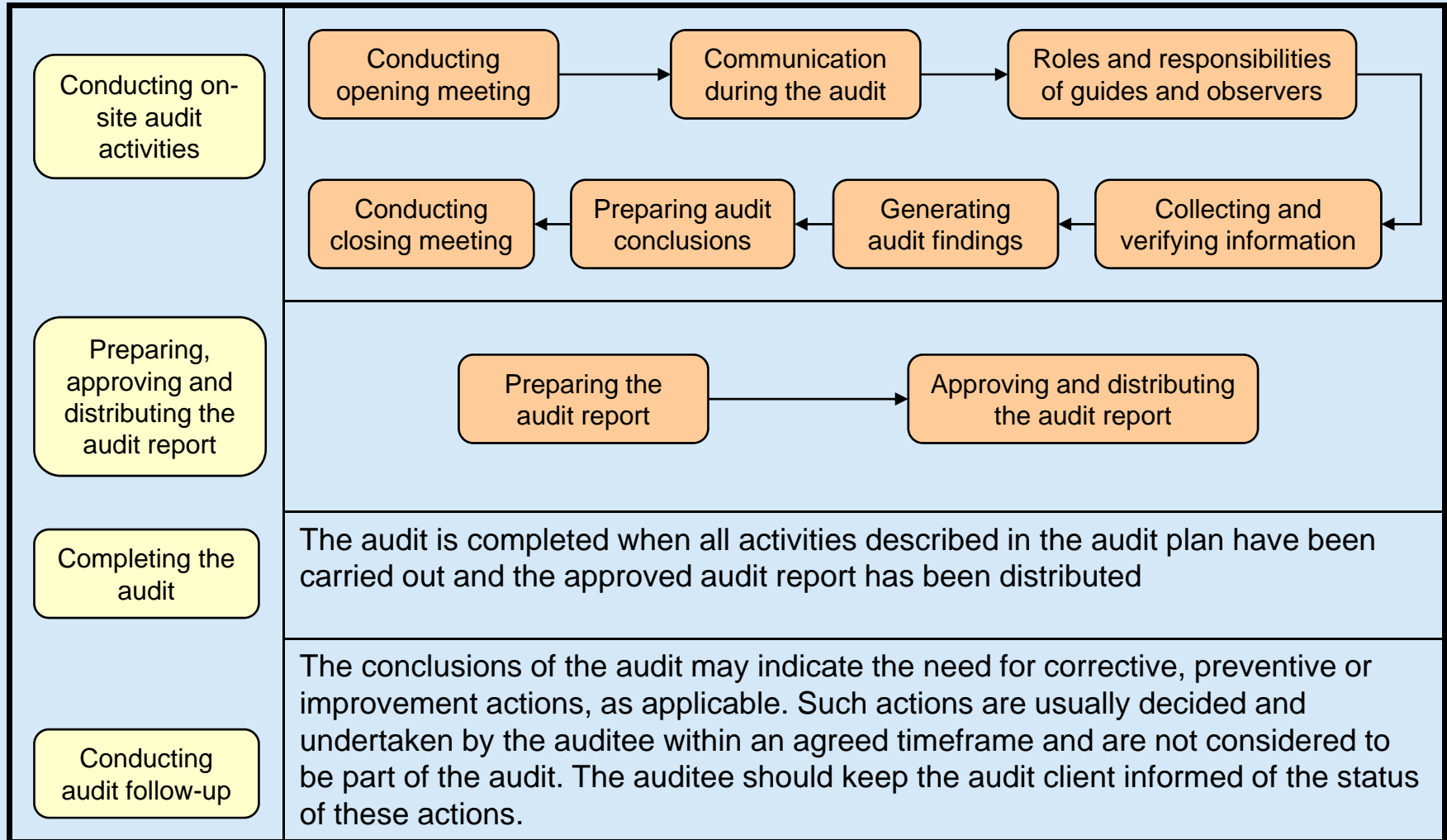
# ■ PDCA-Cycle (ISO 19011)



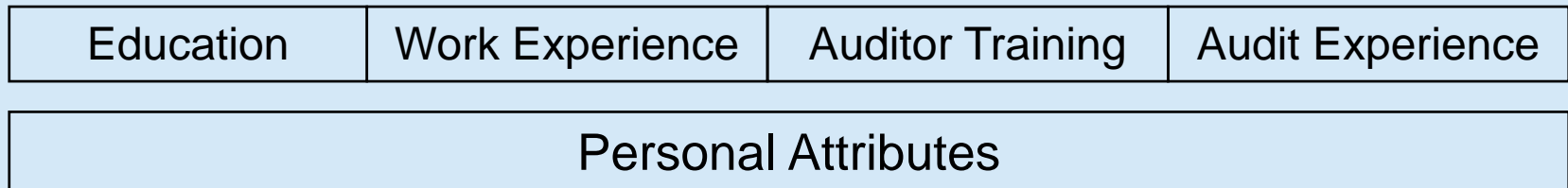
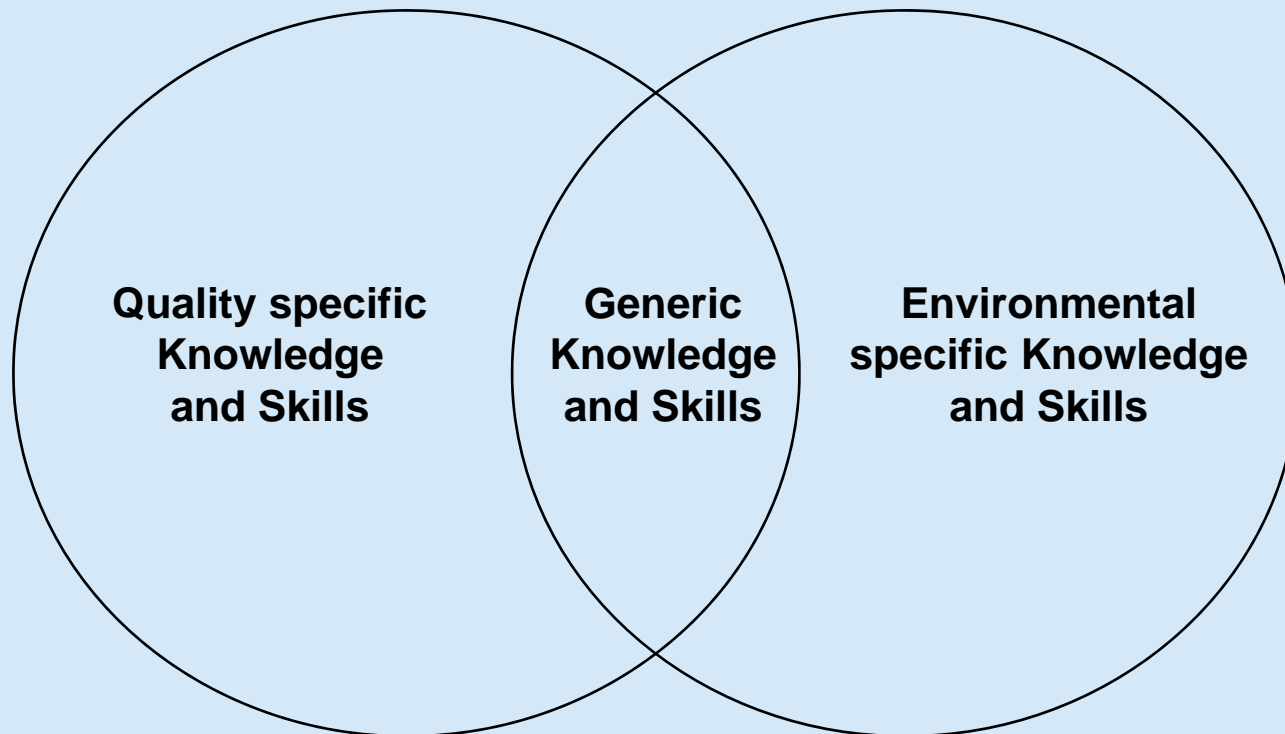
# Audit Activities (ISO 19011)



# Audit Activities (ISO 19011)



# ■ Auditing Competence



## ■ Personal Attributes

- ethical – fair, truthful, sincere, honest and discreet
- open minded – willing to consider alternative ideas or points of view
- diplomatic – tactful in dealing with people
- observant – constantly and actively aware of physical surroundings and activities
- perceptive – instinctively aware of and able to understand and adapt to situations
- versatile – able to adapt to different situations
- tenacious – persistent, focussed on achieving objectives
- decisive – reaching timely conclusions based on logical reasoning and analysis
- self-reliant – acts and functions independently while interacting effectively with others



## ■ Indicators of Competence

	Indicator
Education	second Education
Work Experience	5 years, at least 2 years in QM- or EM-field
Auditor Training	40 h of auditor training
Auditor Experience	4 complete audits and not less than 20 days of audit experience as an auditor in training. The audits should be completed within the last 3 consecutive years

Note 1: Secondary education is that part of the national educational system that comes after the primary or elementary stage, but that is completed prior to entrance to an university or similar educational institution

Note 2: The number of years of work experience may be reduced by one year if a person has completed appropriate post-secondary education

## ■ Summary Auditing Knowledge

- Auditing skills are a key requirement for CDM auditors
- ISO 19011 gives guideline for auditing knowledge
- DOE shall establish an audit program
- PDCA-cycle can be transferred to validation / verification
- Competence of CDM auditors are based on personal attributes
- Education, work experience, audit training and experience are key indicators for a qualified CDM auditor