



**SRI LANKA ACCREDITATION BOARD**  
for CONFORMITY ASSESSMENT

**SPECIFIC CRITERIA FOR**

**BODIES PROVIDING CERTIFICATION**

**OF**

**ENVIRONMENTAL MANAGEMENT SYSTEMS**

## **ABBREVIATIONS**

<b>IAF</b>	International Accreditation Forum
<b>IEC</b>	International Electro Technical Commission
<b>PAC</b>	Pacific Accreditation Co-operation
<b>ISO</b>	International Organization for Standardization
<b>MD</b>	Mandatory Documents
<b>ID</b>	Informative Documents
<b>EMS</b>	Environmental Management Systems
<b>SLAB</b>	Sri Lanka Accreditation Board for Conformity Assessment

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<b>Title:</b> Specific Criteria for EMS			<b>Doc No:</b> CS-GL(P)-02(AA)	
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## 1. INTRODUCTION

- 1.1 The Accreditation Scheme for Certification Bodies of the Sri Lanka Accreditation Board (SLAB) is based on the requirements laid down in ISO/IEC 17021-1:2015 Conformity Assessment- Requirements for bodies providing audit and certification of management systems & ISO/IEC TS 17021-2:2012 Conformity Assessment- Requirements for bodies providing audit and certification of management systems; Part 2: Competence requirements for auditing and certification of Environmental management systems. Certification covers a wide range of conformity assessments in different fields of certification. Specific scope sectors under certification of Environmental Management Systems (EMS) for which SLAB offers accreditation based on ISO/IEC 17021-1 is given in *Appendix A*.
- 1.2 This document provides requirements considered necessary to be taken into account the type of scope sector, competency level of auditors, classification of risk levels and techniques involved and the expertise required for different risk levels based on the additional criteria published by the International / Regional Accreditation Organizations.
- 1.3 Certification bodies which provide EMS Certification as per ISO 14001 shall comply with any national laws and regulations, as applicable.
- 1.4 The scopes of EMS certification as per ISO 14001 requires a wide variety of techniques requiring different levels of knowledge and expertise in the performance of audits. ISO/IEC TS 17021-2 intends that all EMS auditors and other personnel involved in certification functions possess generic competence & the specific EMS knowledge. Competency requirements for auditing and certification of EMS described in ISO/IEC 17021-1 are prescribed in clause 6 & Annex A of this document and ISO/IEC TS 17021-2:2012 Conformity Assessment- Requirements for bodies providing audit and certification of management systems; Part 2: Competence requirements for auditing and certification of Environmental management systems. To ensure that those auditors who demonstrate the relevant competence are allowed to conduct EMS audits including technical experts and to provide for a higher level of consistency in the interpretation of requirements of those Standards in the assessment process and to facilitate the accreditation procedure, the complexity sectors / business sectors have been classified and listed in *Appendix B*.
- 1.5 This Specific Criteria document must be used in conjunction with ISO/IEC 17021-1 & ISO/IEC TS 17021-2.
- 1.6 This specific criteria document has been prepared by the Technical Advisory Committee on Management System certification and has been authorized for adoption by the Council of the Sri Lanka Accreditation Board (SLAB). ISO/IEC 17021-1, ISO/IEC TS 17021-2 and this document provide guidance for the accreditation of Certification bodies who are seeking accreditation and the assessors who are conducting assessments at certification Bodies of EMS. This document will be periodically reviewed and updated as and when required.

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## 2. TERMS & DEFINITIONS

For the purpose of this document, the terms and definitions given in ISO/IEC 17000, ISO/IEC 17021-1, ISO/IEC TS 17021-2, ISO 9000, ISO 9001 and ISO 19011 shall apply.

## 3. REFERENCES

ISO/IEC 17021-1:2015 Conformity Assessment- Requirements for bodies providing audit and certification of management systems.

ISO/IEC TS 17021-2:2012 Conformity Assessment- Requirements for bodies providing audit and certification of management systems; Part 2: Competence requirements for auditing and certification of Environmental management systems

IAF MD 1:2007 Certification of Multiple Sites Based on Sampling

IAF MD 2:2007 Transfer of Accredited Certification of Management Systems

IAF MD 3:2008 Advanced Surveillance and Recertification Procedures (ASRP)

IAF MD 4:2008 Use of Computer Assisted Auditing Techniques ("CAAT") for Accredited Certification of Management Systems

IAF MD 5:2015 Determination of Audit Time of Quality and Environmental Management Systems

IAF MD 7:2010 Harmonisation of Sanctions

IAF MD 10:2013 Assessment of Certification Body Management of Competence

IAF MD 11:2013 Application of ISO/IEC 17021 for Audits of Integrated Management Systems (IMS)

IAF MD 12:2016 Accreditation Assessment of Conformity Assessment Bodies with Activities in Multiple Countries

IAF MD 17:2015 Witnessing Activities for the Accreditation of Management Systems Certification Bodies

IAF ID1:2014 QMS and EMS Scopes of Accreditation

## 4. PRINCIPLES (*Clause 4 of ISO/IEC 17021-1*)

The principles given in Clause 4 of ISO/IEC 17021-1:2015 are the basis for the subsequent specific performance and descriptive requirements in this specific criteria document. This specific criteria document does not give specific requirements for all situations that can occur. These principles should be applied as guidance for the decisions that may need to be made for unanticipated situations. Principles are not requirements.

The term “Management system” used in ISO/IEC 17021-1 shall be replaced by “Environmental management system” in the context of this specific criteria document.

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## 5 GENERAL REQUIREMENTS

### 5.1 General (Clause 5.1 of ISO/IEC 17021-1)

All the requirements given in Clause 5.1 of ISO/IEC 17021-1 shall apply.

### 5.2 Management of impartiality (Clause 5.2 of ISO/IEC 17021-1)

The certification body shall have a statement that it understands the importance of impartiality with regard to EMS certifications. Certification body shall publish impartiality statement / impartiality policy enabling easy access to the interested parties is concerned. Certification bodies may post impartiality statement in their home page.

The certification body and any part of the same legal entity shall not offer or provide consultancy on EMS implementation and related activities and Training for customers of the certification body.

The fact that the certification body employing the Auditor is known to have provided EMS consultancy or Management systems consultancy on the particular customer of the certification body within two years following the end of the consultancy, is likely to be considered as a high threat to impartiality.

### 5.3 Liability & financing (Clause 5.3 of ISO/IEC 17021-1)

The certification body shall evaluate possible risks arising from its certification activities and shall have arrangements to cover liabilities arising from its operations in each of its fields of activities and the geographic areas in which it operates. It is recommended to obtain insurance coverage or allocate a reserve for the above purposes.

It is recommended to evaluate certification body's finances and sources of income and demonstrate to the impartiality committee as specified in the clause 6.2 that initially and bi-annually in order to verify commercial or financial or other pressures do not compromise impartiality.

## 6. STRUCTURAL REQUIREMENTS (Clause 6 of ISO/IEC 17021-1)

### 6.1. Organization structure and top management (Clause 6.1 of ISO/IEC 17021-1)

All requirements given in Clause 6.1 of ISO/IEC 17021-1 shall apply.

### 6.2. Operational control (Clause 6.2 of ISO/IEC 17021-1)

All requirements given in Clause 6.2 of ISO/IEC 17021-1 shall apply. The Certification Body shall conduct a risk analysis related to competence consistency and impartiality of branch offices, and other related entities considering the appropriate level and method of controls undertaken for the operation of certification Body. And records shall be maintained.

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**7. RESOURCE REQUIREMENTS** (Clause 7 of ISO/IEC 17021-1 & Clause 5 & 6 of ISO/IEC TS 17021-3)

**7.1.1 Competence of personnel** (Clause 7.1 of ISO/IEC 17021-1 & Clause 5,6,& 7 of ISO/IEC TS 17021-2)

All requirements given in Clause 7.1 of ISO/IEC 17021-1 & Clause 5,6 & 7 of ISO/IEC TS 17021-2 shall apply.

Additionally, the certification body may have to comply as a team with specific knowledge and competence relevant to the complexity levels/ scope sectors as given in Appendix B or otherwise decided by the CB and agreeable to the assessment team to ensure that personnel are competent for the specific tasks.

The certification body shall define the competence requirements for each relevant EMS technical area and for each function in the certification activity. Risk and complexity are other considerations when deciding the level of knowledge needed for any of these functions. If the auditors in the audit team do not have the same competence, the collective competence of the audit team shall be sufficient to achieve the audit objectives.

**7.1.2** The specific knowledge and competency of personnel involved in certification process (Annex A, Table A.1 & A.2 of ISO/IEC TS 17021-2) shall be recorded for each complexity level/scope sector and evidence of records for such specific fields shall include at least the following;

- Records on competences and performance evaluation
- Audit team selection
- Environmental terms, definitions and concepts
- Quantification of environmental outputs applicable (environmental metrics)
- Environmental monitoring and measuring techniques and analytical methods
- Environmental aspects and impacts and the environmental significance
- Design process
- Environmental performance evaluation
- Applicable legal requirements and other requirements
- Emergency preparedness and response
- Use of operational controls
- Site-related factors

Aspect Specific Competence requirements of certification body for EMS auditing as shown in **Appendix A**, shall be consistent with the technical areas in which certification body operates.

**7.2. Personnel involved in the certification activities** (Clause 7.2 of ISO/IEC 17021-1 & Clause 5, 6,& 7 of ISO/IEC TS 17021-2)

**7.2.1.1** All requirements given in Clause 7.2 of ISO/IEC 17021 & Clause 5,6,& 7 of ISO/IEC TS 17021-2 shall apply.

**7.2.1.2** The certification body shall ensure that all personnel involved in the audit and certification activities possess the personnel attributes as described in the Annex D of ISO/IEC 17021-1 with evidence.

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**7.3 Use of Individual External Auditors and External Technical Experts** (Clause 7.3 of ISO/IEC 17021-1 & Clause 5, 6, & 7 of ISO/IEC TS 17021-2)

All requirements given in Clause 7.3 of ISO/IEC 17021-1 & Clause 5, 6, & 7 of ISO/IEC TS 17021-2 shall apply

Certification body shall collect information prior to association with any organization of external Personnel who may be assigned to audit or other potential applicants related to Certification body.

**7.4 Personnel records** (Clause 7.4 of ISO/IEC 17021-1 & Clause 5, 6, & 7 of ISO/IEC TS 17021-2)

All requirements given in Clause 7.3 of ISO/IEC 17021-1 & Clause 5, 6, & 7 of ISO/IEC TS 17021-2 shall apply

**7.5 Outsourcing** (Clause 7.5 of ISO/IEC 17021-1 & Clause 5, 6, & 7 of ISO/IEC TS 17021-2)

All requirements given in Clause 7.5 of ISO/IEC 17021-1 & Clause 5, 6, & 7 of ISO/IEC TS 17021-2 shall apply

**8. INFORMATION REQUIREMENTS** (Clause 8 of ISO/IEC 17021-1)

All requirements given in Clauses 8.1, 8.2, 8.3, 8.4 & 8.5 of ISO/IEC 17021-1 shall apply

**9. PROCESS REQUIREMENTS** (Clause 9 of ISO/IEC 17021-1)

The requirements given in Clause from 9.1 to 9.9 of ISO/IEC 17021-1 and IAF MD-05 – Duration for QMS & EMS Audits shall apply.

**10. MANAGEMENT SYSTEM REQUIREMENTS FOR CERTIFICATION BODIES** (Clause 10 of ISO/IEC 17021-1)

All requirements given in Clause from 10.1 to 10.3 of ISO/IEC 17021-1 shall apply.

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## Appendix A

### SPECIFIC SCOPE SECTORS FOR BODIES PROVIDING ENVIRONMENTAL MANAGEMENT SYSTEMS CERTIFICATION

(For management systems other than FSMS)

#### NACE Rev.2 code

#### Section A – Agriculture, Forestry and Fishing

- |   |             |
|---|-------------|
| 1. Crop and animal production, hunting and related activities | Division 01 |
| 2. Forestry and logging                                       | Division 02 |
| 3. Fishing and aquaculture                                    | Division 03 |

#### Section B- Mining and Quarrying

- |  |             |
|--|-------------|
| 4. Mining of coal and ignite                     | Division 05 |
| 5. Extraction of crude petroleum and natural gas | Division 06 |
| 6. Mining of metal ores                          | Division 07 |
| 7. Other mining and quarrying                    | Division 08 |
| 8. Mining support service activities             | Division 09 |

#### Section C – Manufacturing

- |   |             |
|---|-------------|
| 9. Manufacture of food products   | Division 10 |
| 10. Manufacture of beverages  | Division 11 |
| 11. Manufacture of tobacco products   | Division 12 |
| 12. Manufacture of textiles   | Division 13 |
| 13. Manufacture of wearing apparel  | Division 14 |
| 14. Manufacture of leather and related products   | Division 15 |
| 15. Manufacture of wood and of products of wood and cork,<br>except furniture; manufacture of articles of straw and plaiting<br>materials | Division 16 |
| 16. Manufacture of paper and paper products   | Division 17 |
| 17. Printing and reproduction of recorded media   | Division 18 |
| 18. Manufacture of coke and refined petroleum products  | Division 19 |
| 19. Manufacture of chemicals and chemical products  | Division 20 |
| 20. Manufacture of basic pharmaceutical products<br>and pharmaceutical preparations   | Division 21 |
| 21. Manufacture of rubber and plastic products  | Division 22 |
| 22. Manufacture of other non-metallic mineral products  | Division 23 |
| 23. Manufacture of basic metals   | Division 24 |
| 24. Manufacture of fabricated metal products, except machinery<br>and equipment   | Division 25 |
| 25. Manufacture of computer, electronic and optical products  | Division 26 |
| 26. Manufacture of electrical equipment   | Division 27 |
| 27. Manufacture of machinery and equipment n.e.c.   | Division 28 |
| 28. Manufacture of motor vehicles, trailers and semi-trailers   | Division 29 |
| 29. Manufacture of other transport equipment  | Division 30 |
| 30. Manufacture of furniture  | Division 31 |
| 31. Other manufacturing   | Division 32 |
| 32. Repair and installation of machinery and equipment  | Division 33 |

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## **Section D- Electricity, Gas, Steam and Air Conditioning Supply**

33. Electricity, gas, steam and air conditioning supply Division 35

## **Section E – Water supply; sewerage, waste management and remediation activities**

34. Water collection, treatment and supply Division 36

35. Sewerage Division 37

36. Waste collection, treatment and disposal activities;  
materials recovery Division 38

37. Remediation activities and other waste management services Division 39

## **Section F – Construction**

38. Construction of buildings Division 41

39. Civil Engineering Division 42

40. Specialized construction activities Division 43

## **Section G - Wholesale and retail trade; repair of motor vehicles and motorcycles**

41. Wholesale and retail trade and repair of motor vehicles and  
Motorcycles Division 45

42. Wholesale trade, except of motor vehicles and motorcycles Division 46

43. Retail trade, except of motor vehicles and motorcycles Division 47

## **Section H - Transportation and storage**

44. Land transport and transport via pipelines Division 49

45. Water transport Division 50

46. Air transport Division 51

47. Warehousing and support activities for transportation Division 52

48. Postal and courier activities Division 53

## **Section I - Accommodation and food service activities**

49. Accommodation Division 55

50. Food and beverage service activities Division 56

## **Section J- Information and Communication**

51. Publishing activities Division 58

52. Motion picture, video and television programme production,  
Sound recording and music publishing activities Division 59

53. Programming and broadcasting activities Division 60

54. Telecommunications Division 61

55. Computer programming, consultancy and related activities Division 62

56. Information service activities Division 63

## **Section K- Financial and Insurance Activities**

57. Financial service activities, except insurance and pension funding Division 64

58. Insurance, reinsurance and pension funding, except compulsory  
Social security Division 65

59. Activities auxiliary to financial services and insurance activities Division 66

## **Section L - Real estate activities**

60. Real estate activities Division 68

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**Section M - Professional, scientific and technical activities**

61. Legal and accounting activities	Division 69
62. Activities of head offices; management consultancy activities	Division 70
63. Architectural and engineering activities; technical testing and analysis	Division 71
64. Scientific research and development	Division 72
65. Advertising and market research	Division 73
66. Other professional, scientific and technical activities	Division 74
67. Veterinary activities	Division 75

**Section N - Administrative and support service activities**

68. Rental and leasing activities	Division 77
69. Employment activities	Division 78
70. Travel agency, tour operator reservation service and related activities	Division 79
71. Security and investigation activities	Division 80
72. Services to buildings and landscape activities	Division 81
73. Office administrative, office support and other business support Activities	Division 82

**Section O - Public administration and defense; compulsory social security Education**

74. Public administration and defense; compulsory social security	Division 84
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**Section P – Education**

75. Education	Division 85
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**Section Q- Human health and social work activities**

76. Human health activities	Division 86
77. Residential care activities	Division 87
78. Social work activities without accommodation	Division 88

**Section R - Arts, entertainment and recreation**

79. Creative, arts and entertainment activities	Division 90
80. Libraries, archives, museums and other cultural activities	Division 91
81. Gambling and betting activities	Division 92
82. Sports activities and amusement and recreation activities	Division 93

**Section S - Other service activities**

83. Activities of membership organizations	Division 94
84. Repair of computers and personal and household goods	Division 95
85. Other personal service activities	Division 96

**Section T - Activities of households as employers; undifferentiated goods and services producing activities of households for own use**

86. Activities of households as employers of domestic personnel	Division 97
87. Undifferentiated goods- and services-producing activities of Private households for own use	Division 98

**Section U - Activities of extraterritorial organizations and bodies**

88. Activities of extraterritorial organizations and bodies	Division 99
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## Appendix B

### COMPLEXITY SECTORS/ BUSINESS SECTORS AND COMPETENCY REQUIREMENTS FOR AUDITORS OF EMS CERTIFICATION BODIES

#### Personnel carrying out contract review

Complexity Sectors Requirements	Low	Medium	High	Special
Education	Secondary Education ( GCE A/L Science stream, Diploma related to environmental studies)	B Sc ( Biological Science, Agriculture, Forestry & Environmental Science, Applied Science, NDT Diploma in Environmental Studies or similar qualification)	B Sc (Biological Science, Agriculture, Forestry & Environmental Science, Applied Science)	Postgraduate degree in related field or 10 years experience with a degree
EMS Training	<p>Training on impacts and aspects evaluation</p> <p>Introductory Training on ISO 14001</p> <p>Training on Environmental Management Principles</p> <p>Awareness training on legal and regulatory requirements</p>	<p>Training on impacts and aspects evaluation</p> <p>Introductory Training on ISO 14001</p> <p>Training on Environmental Management Principles</p> <p>Awareness training on legal and regulatory requirements</p>	<p>Training on impacts and aspects evaluation</p> <p>Introductory Training on ISO 14001</p> <p>Specific Training on Environmental Management Principles in the relevant field</p> <p>Awareness training on legal and regulatory requirements</p>	<p>Training on impacts and aspects evaluation</p> <p>Introductory Training on ISO 14001</p> <p>Training on Environmental Management Principles in the relevant field ( on-site)</p> <p>Awareness training on legal and regulatory requirements</p>
Audit Training	successfully completed training in audit processes based on the guidance given in ISO 19011	successfully completed training in audit processes based on the guidance given in ISO 19011	successfully completed training in audit processes based on the guidance given in ISO 19011	successfully completed training in audit processes based on the guidance given in ISO 19011

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**Personnel carrying out contract review**

<b>Complexity Sectors Requirements</b>	<b>Low</b>	<b>Medium</b>	<b>High</b>	<b>Special</b>
Competences	Shall demonstrate the ability to apply knowledge and skills in the following areas; <ul style="list-style-type: none"> <li>• Classification of complexity categories / business sectors;</li> <li>• Deployment of EMS auditor competences and requirements; Determination of the audit time and duration requirements as per IAF MD 5;</li> <li>• Certification bodies requirements and procedures related to contract review.</li> </ul>			
Work experience	Minimum six month EMS sector	Minimum six month EMS sector	Minimum one year in the EMS sector	Minimum two years in the relevant field

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**Auditors**

<b>Complexity Sectors Requirements</b>	<b>Low</b>	<b>Medium</b>	<b>High</b>	<b>Special</b>
Education	B Sc ( Biological Science / Engineering, with Environmental subjects, Agriculture, Forestry & Environmental Science, Applied Science, NDT Diploma in Environmental Studies or similar qualification)	B Sc (Biological Science/ Engineering, Agriculture, Forestry & Environmental Science, NDT Diploma in Environmental Studies with five years experience in the relevant field and Applied Science)	Postgraduate degree in related field or 10 years experience with a degree	Postgraduate degree in related field or 10 years experience with a degree
EMS Training	Successfully completed Lead Auditor Training Course in ISO 14001  Awareness training on legal and regulatory requirements Training on Environmental Aspects Evaluation and operational controls	Successfully completed Lead Auditor Training Course in ISO 14001  Awareness training on legal and regulatory requirements Training on Environmental Aspects Evaluation and operational controls	Successfully completed Lead Auditor Training Course in ISO 14001  Awareness training on legal and regulatory requirements  Training on Environmental Aspects Evaluation and operational controls	Successfully completed Lead Auditor Training Course in ISO 14001  Awareness training on legal and regulatory requirements  Training on Environmental Aspects Evaluation and operational controls related to specific filed

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**Auditors**

<b>Complexity Sectors Requirements</b>	<b>Low</b>	<b>Medium</b>	<b>High</b>	<b>Special</b>
<b>Audit Training</b>	<p>Successfully completed training in audit processes and techniques based on the guidance given in ISO 19011.</p> <p>Successfully completed Lead Auditor Training Course in ISO 14001</p>	<p>Successfully completed training in audit processes based on the guidance given in ISO 19011.</p> <p>Successfully completed Lead Auditor Training Course in ISO 14001</p>	<p>Successfully completed training in audit processes based on the guidance given in ISO 19011.</p> <p>Successfully completed Lead Auditor Training Course in ISO 14001.</p>	<p>Successfully completed training in audit processes based on the guidance given in ISO 19011.</p> <p>Successfully completed Lead Auditor Training Course in ISO 14001</p>
<b>Work Experience</b>	<p>Minimum three years full time work experience including at least one year work experience in quality assurance or EMS functions in the related sector</p>	<p>Minimum five years full time work experience including at least two years work experience in quality assurance or EMS functions in the related sector ( industry, manufacturing, processing )</p> <p>The number of total work experience may be reduced by one year if the auditor has completed post-secondary education.</p>	<p>Minimum six years full time work experience including at least two years work experience in quality assurance or EMS functions in the related sector ( industry, manufacturing,</p>	<p>Minimum ten years full time work experience including at least four years work experience in quality assurance or EMS functions in the related sector</p>

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## Auditors

<b>Complexity Sectors</b>	<b>Low</b>	<b>Medium</b>	<b>High</b>	<b>Special</b>
<b>Requirements</b>				
Audit experience	Within last two years auditor has performed at least twelve EMS audit days in at least four organization under the leadership of qualified auditor.			
	For extension to next field within same complexity level CB shall demonstrate the auditor has the required competence through comprehensive training on the relevant field, six months of work experience and four EMS audits under qualified lead auditor in the new category.	For extension to next field within same complexity level CB shall demonstrate the auditor has the required competence through comprehensive training on the relevant field, one year of work experience and four EMS audits under qualified lead auditor in the new category.	For extension to next field within same complexity level CB shall demonstrate the auditor has the required competence through comprehensive training on the relevant field, two year of work experience and four EMS audits under qualified lead auditor in the new category.	No extension until the fulfillment of required education.
Maintaining the qualification of auditors	Minimum five external audits per year including at least two EMS audits or minimum ten EMS audit days per year.	Minimum five external audits per year including at least two EMS audits or minimum ten EMS audit days per year.	Minimum five external audits per year including at least two EMS audits or minimum ten EMS audit days per year.	Minimum five external audits per year including at least two EMS audits or minimum ten EMS audit days per year.
Competences	CB shall ensure that auditors demonstrate the ability to apply knowledge and skills in the following areas;			

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## Auditors

Complexity Sectors Requirements	Low	Medium	High	Special
Competences	<p><b>A) Audit principles ,procedure and techniques</b> To enable the auditor to apply those appropriate to different audits and to ensure that audits are conducted in a consistent and systematic manner. An auditor shall be able</p> <ul style="list-style-type: none"> <li>▪ to apply audit principles ,procedures and techniques</li> <li>▪ to plan and organize the work effectively,</li> <li>▪ to conduct the audit within agreed time schedule,</li> <li>▪ to prioritize and focus on matters of significance,</li> <li>▪ to collect information through effective interviewing, listening, observing and reviewing documents records and data,</li> <li>▪ to understand the appropriateness and consequences of using sampling techniques for auditing,</li> <li>▪ to verify the accuracy of collected information</li> <li>▪ to confirm the sufficiency and appropriateness of audit evidence to support audit findings and conclusions,</li> <li>▪ to assess those factors that can affect the reliability of the audit findings and conclusions,</li> <li>▪ to work documents to record audit activities,</li> <li>▪ to prepare audit report,</li> <li>▪ to maintain the confidentiality and security of information , and</li> <li>▪ to communicate effectively ,either through personnel linguistic skills or through an interpreter</li> </ul>			
	<p><b>B) Management system and reference documents</b> To enable the auditor to comprehend the scope of the audit and to apply audit criteria. Knowledge and skills in this area shall cover</p> <ul style="list-style-type: none"> <li>▪ the application of management systems to different organizations,</li> <li>▪ interaction between the components of the management system</li> <li>▪ Environmental Management Systems standards, applicable procedures or other management system documents used as audit criteria</li> <li>▪ recognizing differences between, and the priority of ,the reference documents</li> <li>▪ application of the reference documents to different audit situations, and information systems and technology for authorization, security, distribution and control of documents, data and records.</li> </ul>			

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## Auditors

Complexity Sectors Requirements	Low	Medium	High	Special
	<p><b>C) Organizational situations</b> To enable the auditor to comprehend the organization’s operational context. Knowledge and skills in this area shall cover,</p> <ul style="list-style-type: none"> <li>▪ Organizational size, structure, functions and relationships,</li> <li>▪ general business processes and related terminology,</li> <li>▪ cultural and social customers of the auditee</li> </ul>			
	<p><b>D) Applicable laws, regulations and other requirements relevant to the discipline</b> To enable the auditor to work within, and be aware of, the requirements that apply to the organization being audited. Knowledge and skills in this area shall cover</p> <ul style="list-style-type: none"> <li>▪ local, regional and national codes, laws and regulations,</li> <li>▪ contracts and agreements,</li> <li>▪ international treaties and conventions , and</li> <li>▪ other requirements to which the organization subscribes</li> </ul>			
	<p><b>E) Auditors shall demonstrate the ability to apply terminology, knowledge and skills in the following environmental specific areas;</b></p> <ul style="list-style-type: none"> <li>▪ current principles of environmental aspects evaluation</li> <li>▪ relevant operational controls</li> <li>▪ methodologies used for determination, implementation and management of control measures ( Significant Environmental impacts and operational controls) and the ability to assess the effectiveness of selected control measures,</li> <li>▪ corrections and corrective actions to be taken with regards to environmental impacts</li> <li>▪ assessment of potential environmental aspects linked to the customer’s activities,</li> <li>▪ evaluation of environmental impacts</li> <li>▪ laws and regulations relevant to environmental issues in order to conduct effective audit of the EMS,</li> <li>▪ products, processes and practices of the specific sector</li> <li>▪ relevant environmental management systems requirements</li> <li>▪ relevant environmental protection standards</li> </ul>			

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### Technical Experts

Complexity Sectors Requirements	Low	Medium	High	Special
Education and work experience	Post-secondary education in the relevant environmental related industry (Complexity Sectors) being audited or in the environmental aspects related to the sector.  At least three years work experience in the relevant field being audited.			
Training on EMS and relevant legal requirements	Training on impacts and aspects evaluation  Introductory Training on ISO 14001  Introductory training on Environmental Management Principles and relevant legal and regulatory requirements	Training on impacts and aspects evaluation  Introductory Training on ISO 14001  Introductory training on Environmental Management Principles and relevant legal and regulatory requirements	Training on impacts and aspects evaluation  Introductory Training on ISO 14001  Introductory training on Environmental Management Principles and relevant legal and regulatory requirements	Training on impacts and aspects evaluation  Introductory Training on ISO 14001  Introductory training on Environmental Management Principles and relevant legal and regulatory requirements
Training on Audit and procedures techniques	Introductory training in audit processes based on the guidance given in ISO 19011 and procedures and relevant rules and guidelines of the certification bodies  Terms and reference of the Technical Experts			

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## Personnel granting certification

Complexity Sectors Requirements	Low	Medium	High	Special
Education, EMS training, audit training and work experience	<p>Personnel who take the decision on granting certification shall have the same education, EMS training, audit training and work experience as required for an auditor in the relevant field.</p> <p>It is not mandatory for personnel granting certification to have or maintain audit experience.</p>			
Training on EMS and relevant legal requirements	<p>Training on impacts and aspects evaluation</p> <p>Introductory Training on ISO 14001</p> <p>Introductory training on Environmental Management Principles and relevant legal and regulatory requirements.</p>	<p>Training on impacts and aspects evaluation</p> <p>Introductory Training on ISO 14001</p> <p>Introductory training on Environmental Management Principles and relevant legal and regulatory requirements.</p>	<p>Training on impacts and aspects evaluation</p> <p>Introductory Training on ISO 14001</p> <p>Introductory training on Environmental Management Principles and relevant legal and regulatory requirements.</p>	<p>Training on impacts and aspects evaluation</p> <p>Introductory Training on ISO 14001</p> <p>Introductory training on Environmental Management Principles and relevant legal and regulatory requirements.</p>

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## Personnel granting certification

Complexity Sectors Requirements	Low	Medium	High	Special
Training on Audit and procedures techniques	<p>Personnel granting certification shall demonstrate the ability to apply knowledge and skills in the following areas;</p> <ul style="list-style-type: none"> <li>▪ current principles of environmental aspects evaluation</li> <li>▪ relevant operational controls</li> <li>▪ methodologies used for determination, implementation and management of control measures ( Significant Environmental impacts and operational controls) and the ability to assess the effectiveness of selected control measures,</li> <li>▪ corrections and corrective actions to be taken with regards to environmental impacts</li> <li>▪ assessment of potential environmental aspects linked to the customer’s activities,</li> <li>▪ evaluation of environmental impacts</li> <li>▪ laws and regulations relevant to environmental issues in order to conduct effective audit of the EMS,</li> <li>▪ products, processes and practices of the specific sector</li> <li>▪ relevant environmental management systems requirements</li> <li>▪ relevant environmental protection standards</li> <li>▪ assessment and review of an audit report for accuracy and completeness</li> <li>▪ assessment and review of the effectiveness of corrective actions</li> <li>▪ certification process</li> </ul>			

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## Appendix C

### COMPOSITION OF THE TECHNICAL ADVISORY COMMITTEE

1.	Dr. Mahesh Wanajith Jayaweera, Department of Civil Engineering, University of Moratuwa,	Chairman
2.	Mr. Manjula Hettiarachchie, Management Representative/Manager (Compliance), Colombo Dockyard PLC,	Member
3.	Mr. Samantha Kumarasena, CEO, National Cleaner Production Centre.	Member
4.	Ms. S U Narangoda, Director, System Certification Division, Sri Lanka Standard Institute.	Member
5.	Mr. Thusitha Amarasinghe, Production Manager, Harcros Chemicals PLC.	Member
6.	Mr. T G G Dharmawardena, Deputy Director General, Sri Lanka Standard Institute.	Member
7.	Dr. W M Palipana, Deputy Commissioner of Occupational and Hygiene Division, Department of Labour, Labour Secretariat.	Member
8.	Mr. W R K Fonseka, Principal Research Engineer, Environmental Technology Division, Industrial Technology Institute.	Member

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