مركز آفاق البيئة للتدريب
Environmental Horizons Training Center

ISO 14001:2026 Overview & internal audit
Dr. Atef Darwish
QHSE lead auditor
IRCA tutor
Sustainability & Caron Footprint Trainer
Independent Sustainability Assurance Professional

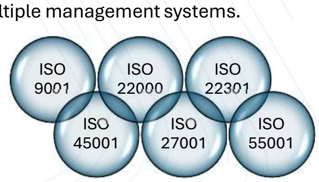
1

مركز آفاق البيئة للتدريب
Environmental Horizons Training Center

ISO 14001:2026 Structure

- Adoption of new High-Level Structure
  - identical core text
  - common terms and key definitions
- Simplified language and a common structure

This is particularly helpful to organizations using and integrating multiple management systems.



Clause-1	• **Scope**
Clause-2	• **Normative Reference**
Clause-3	• **Terms and Definitions**
Clause-4	• **Context of the Organization**
Clause-5	• **Leadership**
Clause-6	• **Planning**
Clause-7	• **Support**
Clause-8	• **Operation**
Clause-9	• **Performance Evaluation**
Clause-10	• **Improvement**

2

Clause 1: Scope (scope of the standard, not the system!) ISO 14001:2026

- This International Standard helps an organization achieve the intended outcomes of its environmental management system, which provides value for the environment, the organization itself and interested parties. Consistent with the organization's environmental policy, the intended outcomes of an EMS include:
  - enhancement of environmental performance;
  - fulfilment of compliance obligations;
  - achievement of environmental objectives.

3

Clause 2: Normative References ISO 14001:2026

There are no normative references.

4

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

Clause 3: Terms & Definitions - Key Terms and Definitions ISO 14001:2026

- **Environmental Condition:** state or characteristic of the environment as determined at a certain point of time.
- **Life Cycle**: consecutive and interlinked stages of a product (or service) system, from raw material acquisition or generation from natural resources to final disposal**.**
- **Note 1 to Entry**: The life cycle includes acquisition of raw materials, design, production, transportation/delivery, use, end-of-life treatment and final disposal.

5

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

ISO 14001 - Purpose

- ISO 14001 is an internationally agreed standard that sets out the requirements for an environmental management system.
- It helps organizations improve their environmental performance through more efficient use of resources and reduction of waste, gaining a competitive advantage and the trust of stakeholders.

6

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

Definitions

- Environmental Impacts and Aspects
- Environmental Conditions
- Compliance Obligations
- Environmental Performance
- Life Cycle
- Risks and Opportunities
- Prevention of Pollution
- Interested party

7

ISO 14001:2026 — Terminology Summary

Understanding the terminology changes ensures auditors apply the correct language when raising findings and writing audit reports. Here is a consolidated reference:

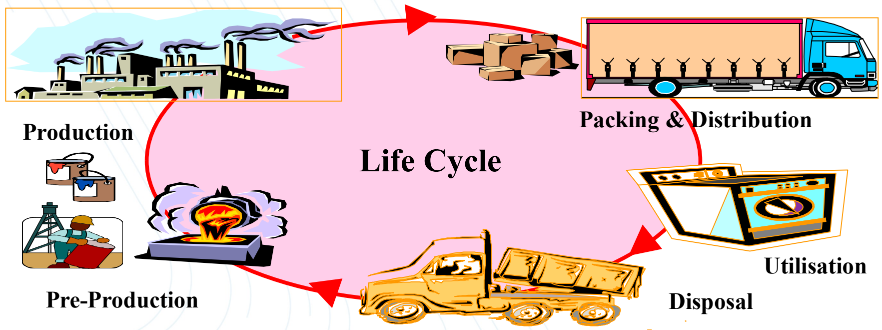
Concept	2015 Edition	2026 Edition
Compliance	Fulfil compliance obligations	Meet compliance obligations
Documentation (procedures)	Maintain documented information	Available as documented information
Documentation (records)	Retain documented information as evidence	Available as evidence of
Risk (standalone)	Defined separately in the standard	Only used as "risks and opportunities"
External supply chain	Outsource / Outsourced processes	Externally provided processes, products, or services

⚠ Auditors must use 2026 edition terminology in all audit documentation for courses using this edition.

8

Product Life Cycle

Consecutive and interlinked stages of a product system from raw material acquisition or generation from natural resources to final disposal



9

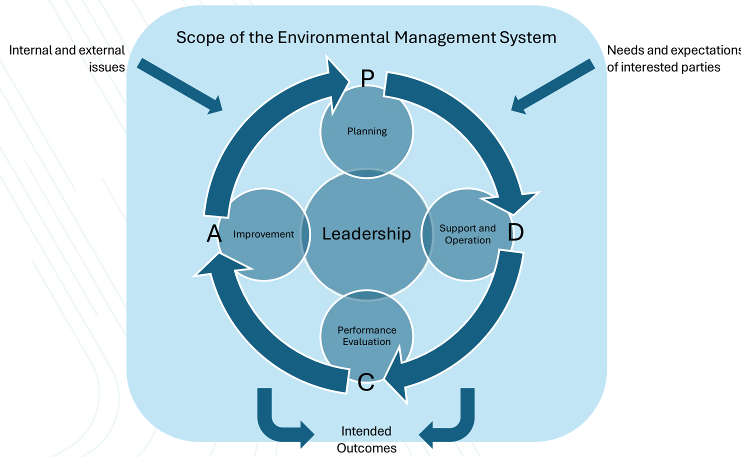
مركز افاق البيئة للتدريب
Environmental Horizons Training Center

ISO 14001 - Purpose

- ISO 14001 is an internationally agreed standard that sets out the requirements for an environmental management system.
- It helps organizations improve their environmental performance through more efficient use of resources and reduction of waste, gaining a competitive advantage and the trust of stakeholders.

10

ISO 14001 and the PDCA approach



11

Definitions

- Environmental Impacts and Aspects
- Environmental Conditions
- Compliance Obligations
- Environmental Performance
- Life Cycle
- Risks and Opportunities
- Prevention of Pollution
- Interested party

12

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

Overview

- Purpose of this section:
- To explain the interrelationship between the requirements of ISO 14001:2026

13

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

Risk and preventive action

- Preventive action has been removed from ISO 14001:2026 Standards and is now replaced by wider perspective of planning. Risk management is a core element of planning in an integrated management system including identification of risks and opportunities and planning actions to address risks and opportunities.
- Risk-based thinking goes throughout the entire ISO 14001:2026 Standard.
- Stays in line with Annex SL that contains no specific requirements for 'preventive action' .

14

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

Context of the Organization

- Focus on the context of the organization. A whole new Clause 4 requires the organization to consider itself and its context, to understand the needs and expectations of interested parties and to determine the scope of its management systems.
- Together this clause require the organization to determine the issues and requirements that can impact on the planning of the integrated management system and can be used as an input into the development of the integrated management system. This would result in a broader business outlook that would imply a more detailed operational planning.

15

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

Leadership

- Top management is required to demonstrate that they engage in key management system activities as opposed to simply ensuring that these activities occur.
- This means that there is a need for top management to be actively involved in the operation of their management system.

16

Improvement

- ISO 14001:2026 Clause 10 recognizes that continual improvement is not the only improvement profile.
- Improvement can also arise as a result of periodic breakthroughs, reactive change or as a result of re-organization.

17

Benefits of an Initial Environmental Review

- The Initial Environmental Review helps determine the organization's environmental position, and should include:

- Organizational context and interested parties
- Compliance obligations
- Recognize items/areas with environmental impact
- Environmental Performance Criteria
- Feedback of previous experiences
- Opportunities for improvement in-house as well as external (contractors, vendors, etc.)
- And more!

18

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

EMS

Benefits of IMPLEMENTATION SWOT

Strengths	Weaknesses
Opportunities	**Threats**

19

Context and Leadership

- Purpose of the section:
- To develop an awareness for relationship between external and internal issues, the relevant requirements of relevant interested parties and scope; To develop an awareness concepts for the leadership, for policy and objectives of the organisation

20

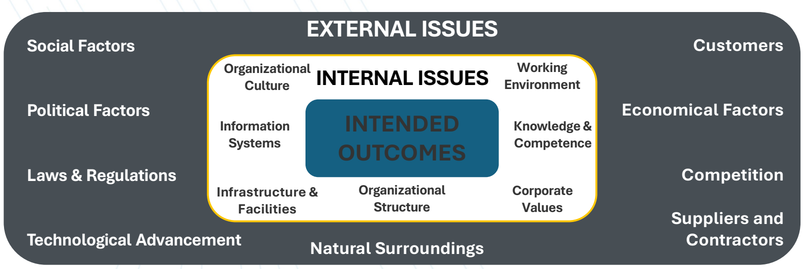
Clause 4.1: Understanding the Organization and its Context
ISO 14001:2026

"The organization shall determine external and internal issues that are relevant to its purpose and that affect its ability to achieve the intended outcome(s) of its environmental management system. Such issues shall include environmental conditions being affected by or capable of affecting the organization" ISO 14001:2026.

21

CLAUSE 4.1 UNDERSTANDING THE ORGANIZATION AND ITS CONTEXT
ISO 14001:2026

The organization shall determine **external** and **internal** issues that are relevant to its purpose and that affect its ability to achieve the **intended outcome(s)** of its EMS management system.



22

22

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

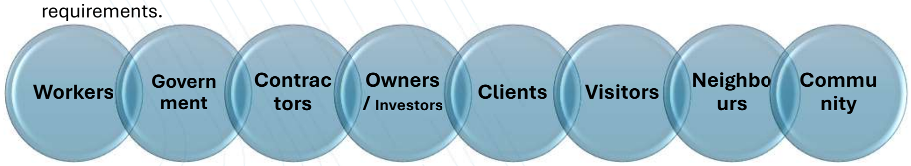
CLAUSE 4.2: UNDERSTANDING THE NEEDS AND EXPECTATIONS OF WORKERS AND OTHER INTERESTED PARTIES
ISO 14001:2026

The organization shall determine:

a) the other interested parties, in addition to workers, that are relevant to the EMS management system;

b) the relevant **needs and expectations** (i.e. requirements) of workers and other interested parties;

c) which of these needs and expectations are, or could become, legal requirements and other requirements.



23

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

Clause 4.3: Determining the Scope of the EMS
ISO 14001:2026

- The organization shall determine the boundaries and applicability of the EMS to establish its scope. When determining this scope, the organization shall consider:
  - the external and internal issues referred to in 4.1;
  - the compliance obligations referred to in 4.2;
  - its organizational units, functions, and physical boundaries;
  - its activities, products and services;
  - its authority and ability to exercise control and influence.
- Once the scope is defined, all activities, products and services of the organization within that scope need to be included in the EMS.
- The scope shall be maintained as documented information and be available to interested parties”

24

Determining the scope

- The scope is:
- physical boundaries
- organizational boundaries
- It is not permissible to exclude activities, products and services from the control of the EMS if included within the identified scope

25

Clause 4.4: Environmental Management System ISO 14001:2026

- "The organization shall establish, implement, maintain and continually improve an EMS, including the processes needed and their interactions, in accordance with the requirements of this International Standard, to enhance its environmental performance.
- The organization shall consider the knowledge of its context when establishing and maintaining the EMS." ISO 14001:2026

26

Clause 5.1: Leadership and Commitment ISO 14001:2026

•“Top management shall demonstrate leadership and commitment with respect to the EMS by:

- taking accountability for the effectiveness of the EMS;
- ensuring that the environmental policy and environmental objectives are established and are compatible with the strategic direction and the context of the organization;
- ensuring the integration of the EMS requirements into the organization’s business processes;
- ensuring that the resources needed for the EMS are available;
- “communicating the importance of effective environmental management and of conforming to the EMS requirements;
- ensuring that the EMS achieves its intended outcomes;
- directing and supporting persons to contribute to the effectiveness of the EMS;
- promoting continual improvement;
- supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility.”

NOTE: Reference to “business” in this International Standard can be interpreted broadly to mean those activities that are core to the purposes of the organization’s existence.

27

TOP MANAGEMENT

- Accountable for the effectiveness of the EMS Management System
- A more proactive leadership role and greater involvement

28

Clause 5.2: Environmental Policy ISO 14001:2026

- The environmental policy shall:
  - be maintained as documented information;
  - be communicated within the organization;
  - be available to interested parties.”

29

Clause 5.3: Organizational Roles, Responsibilities & Authorities ISO 14001:2026

- “Top management shall ensure that the responsibilities and authorities for relevant roles are assigned and communicated within the organization.
- Top management shall assign the responsibility and authority for:
  - ensuring that the EMS conforms to the requirements of this International Standard;
  - reporting on the performance of the EMS, including environmental performance, to top management.”

30

Clause 6.1: Actions to Address Risks and Opportunities ISO 14001:2026

6.1.1 General

The organization shall establish, implement and maintain (a) process(es) needed to meet the requirements in 6.1.2 to 6.1.5.

The process(es) for 6.1.2 to 6.1.5 shall be available as documented information to the extent necessary to have confidence that they are carried out as planned.

31

IMPLEMENTATION TIPS

You can consider developing a SWOT (Strengths, Weaknesses, Opportunities and Threats) for defining strategic level of Environmental/OH&S Risks and Opportunities.

Strengths	Weaknesses
Opportunities	Threats

32

مركـز افـاق البيئـة للتدريب
Environmental Horizons Training Center

Clause 6.1: Actions to Address Risks and Opportunities ISO 14001:2026

- **6.1.2 Environmental Aspects**
- "Within the defined scope of the EMS, the organization shall:
  - determine the environmental aspects of its activities, products and services that it can control and those that it can influence, and their associated environmental impacts, considering a life cycle perspective;
- When determining environmental aspects, the organization shall take into account:
  - change, including planned or new developments, and new or modified activities, products and services;
  - abnormal conditions and reasonably foreseeable emergency situations.
- The organization shall determine those aspects that have or can have a significant impact i.e. significant environment aspects, by using established criteria."
- "The organization shall communicate its significant environmental aspects among the various levels and functions of the organization, as appropriate.
- The organization shall maintain documented information of its:
  - environmental aspects and associated environmental impacts;
  - criteria used to determine its significant environmental aspects;
  - significant environmental aspects.

- NOTE: Significant environmental aspects can result in risks and opportunities associated with either adverse environmental impacts (threats) or beneficial environmental impacts (opportunities)."

33

Environmental Aspects

Definition

An environmental aspect is defined as an "element of an organization's activities, products, or services that interacts or can interact with the environment." Aspects are the link between what an organization does and environmental outcomes.

Sources of Aspects

- Normal activities, products, and services (lifecycle perspective)
- New or changed conditions; modifications to operations
- Abnormal or emergency situations

Determining Significance

The significance of an environmental aspect varies based on:

- Nature and hazardous properties of substance
- Quantity involved and rate of release
- Location of release and receiving environment
- Frequency of occurrence

Documented information on environmental aspects shall be available as a mandatory requirement under ISO 14001:2026.

34

The Planning Process in EMS

Effective EMS planning requires a structured, integrated approach that connects environmental reality with organizational action. The planning process spans the full lifecycle of the system:

01

Identify Environmental Aspects

Determine aspects and evaluate their significance relative to environmental impact.

02

Determine Issues & Interested Party Requirements

Analyze external and internal issues; capture stakeholder needs regarding environmental performance.

03

Determine Legal & Other Requirements

Identify all applicable compliance obligations at local, national, and international levels.

04

Assess Risks and Opportunities

Determine risks and opportunities that affect achieving the EMS's intended outcomes.

05

Set Objectives and Action Plans

Establish measurable objectives for significant aspects and develop plans to achieve them.

06

Plan for Changes

Ensure that changes to the EMS are carried out in a planned, controlled manner.

35

مركـز افـاق البيئـة للتدريب
Environmental Horizons Training Center

Examples

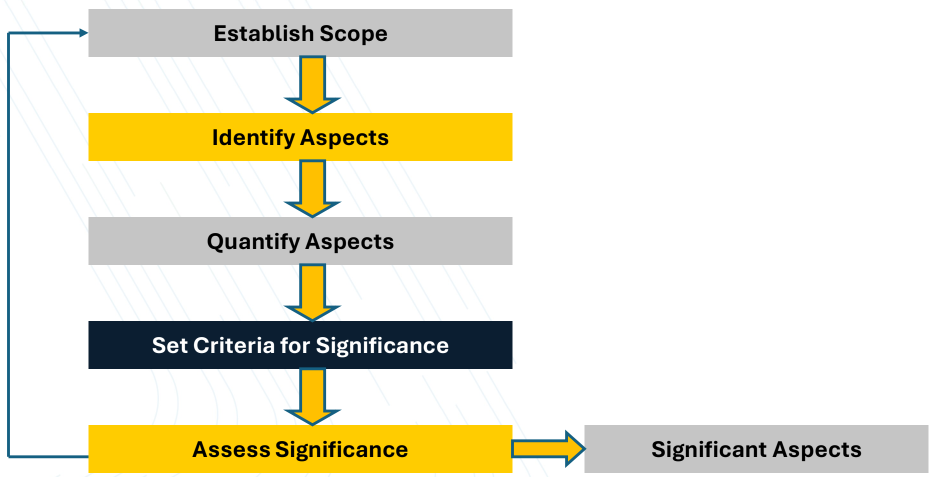
- Aspects (Give definition?)
- Air Emissions
- Natural Resources
- Recycling

- Impacts (Give definition?)
- Degradation of Air Quality (Give definition?)
- Decrease in Natural Resources
- Increase in Landfill Space

- Activity (Give definition?)
- Fueling/Operating Vehicles
- Purchase of Chemicals
- Environmental Education

36

Overview of Significance Rating



37

Environmental Aspects

	Pollution	Resource Use
Direct (Controlled by Organisation)	Air Water Land Community	Water Energy Fuel Raw Materials
Indirect (Influenced by Organisation)	Pollution caused by suppliers, contractors and customers	Resource use by suppliers, contractors and customers

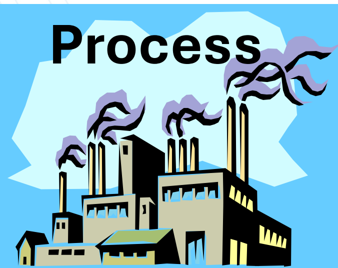
38

Identifying Environmental Aspects

Inputs

RESOURCE USAGE
- **Raw Materials**
- **Energy**
- **Natural resources**

Process



Activities

Outputs

POLLUTION
- **Air**
- **Water**
- **Waste**
- **Community**

39

Assessing the Significance of the Aspects

> **Purpose**

To assess the potential for an aspect to cause harm to the environment

> **Methodology**

Set criteria

Different criteria for pollution, use of resources, indirect

40

Criteria

- **Pollution**

Likelihood that pollution will occur
Consequence to environment and business

- **Use of Resources**

Scale of use
Scarcity of resource

- **Indirect**

Consequence of impact
Level of influence

41

Continual Improvement

- Check significant aspects
- Compare with legal and policy requirements
- Set objectives to reduce the significance

42

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

6.1.3 Compliance Obligations

- "The organization shall:
  - identify and have access to the compliance obligations related to its environmental aspects;
  - determine how these compliance obligations apply to the organization.
  - take these compliance obligations into account when establishing, implementing, maintaining and continually improving its environmental management system.
- The organization shall maintain documented information of its compliance obligations.

NOTE: Compliance obligations shall be available as documented information

NOTE: Compliance obligations can result in risks and opportunities to the organization.

43

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

IMPLEMENTATION TIPS

You can consider developing a Environmental Compliance Obligations and EMS Legal and Other Requirements Register such as below:

ENVIRONMENTAL COMPLIANCE OBLIGATIONS AND OH&S LEGAL AND OTHER REQUIREMENTS REGISTER	HOW DO THE REQUIREMENTS APPLY TO THE ORGANIZATION?
Environmental Compliance Obligations:	
EMS Legal Requirements:	
1)	
2)	
3)	
EMS Other Requirements:	
1)	
Dated:	Prepared by:

44

مركـز افـاق البيئـة للتدريب
Environmental Horizons Training Center

Clause 6.1.4: Actions to Address Risks and Opportunities ISO 14001:2026

When planning for the environmental management system, the organization shall consider:

a) the external and internal issues referred to in 4.1;

b) the relevant needs and expectations (i.e. requirements) of interested parties referred to in 4.2;

c) the scope of its environmental management system referred to in 4.3;

and determine the risks and opportunities to the organization related to its environmental aspects (see 6.1.2), compliance obligations (see 6.1.3) and other issues and requirements, if any, identified in 4.1 and 4.2, that need to be addressed to:

— give assurance that the environmental management system can achieve its intended outcomes;

— prevent, or reduce, undesired effects, including the potential for external environmental conditions to affect the organization;

— achieve continual improvement.

The risks and opportunities that need to be addressed shall be available as documented information.

45

Risk Management: Clause 6.1.4 Requirements

Clause 6.1.4 of ISO 14001:2026 contains an explicit requirement to determine risks and opportunities across four interconnected domains. This is a critical audit area.

Environmental Aspects

Risks and opportunities arising from significant and non-significant environmental aspects identified under Clause 6.1.2.

External & Internal Issues

Issues from the context analysis (Clause 4.1) that affect the organization's capability to achieve its EMS intended outcomes.

Interested Parties' Needs

Needs and expectations of relevant interested parties (Clause 4.2) that relate to environmental performance.

Compliance Obligations

Legal requirements and other obligations that carry risk if not met — or present opportunities if exceeded.

Purpose: Provide assurance the EMS achieves intended outcomes; prevent or reduce undesired effects; and achieve continual improvement.

46

Risk Management: Flexibility and Application

ISO 14001:2026 does not mandate a specific risk assessment methodology. The organization has flexibility to select the method and degree of formality that suits its needs — from a simple qualitative process to a comprehensive quantitative assessment.

Informing Significance Criteria (Clause 6.1.2)

Understanding risk magnitude enables better-informed decisions about what constitutes a "significant" environmental aspect and helps set defensible thresholds.

Structuring Operational Controls (Clause 8.1)

Risk levels guide the hierarchy of controls — elimination, substitution, administrative — ensuring the strongest controls are applied to the highest risks.

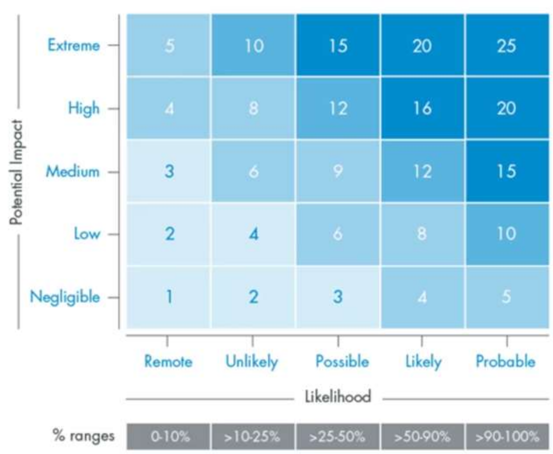
Setting Environmental Objectives (Clause 6.2)

Risks and opportunities identified in planning are direct inputs to objective-setting, ensuring resources are directed at the most impactful improvement areas.

ⓘ The identified risks and opportunities are mandatory inputs for planning actions and for establishing environmental objectives.

47

Developing a Quantitative Risk Assessment Approach



A risk matrix provides a structured, visual method for evaluating risk by combining Potential Impact (vertical axis: Negligible → Extreme) with Likelihood (horizontal axis: Remote → Probable, expressed as % probability ranges). The resulting score guides prioritization of controls and corrective actions. Higher scores demand immediate and more robust treatment.

48

6.1.5 Planning actions

- The organization will have to plan actions to:

✓ address the environmental aspects
✓ compliance obligations
✓ determined risks related to threats and opportunities

- ...and evaluate their effectiveness

49

6.1.4 Planning actions

- The organization will have to plan actions to:

✓ address the environmental aspects
✓ compliance obligations
✓ determined risks related to threats and opportunities

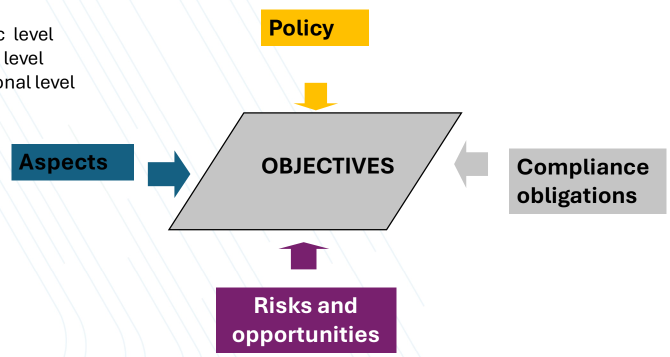
- ...and evaluate their effectiveness

50

6.2 Objectives and plans

Environmental objectives at:

✓Strategic level
✓Tactical level
✓Operational level



51

Objectives - Guide Words

- Increase/Improve
- Maintain/Continue
- Reduce
- Introduce
- Eliminate

Plans

- Who is to do
- What by
- When and with what
- Result and what is the
- Progress

52

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

6.3 Planning of changes

When the organization determines the need for changes that affect or can affect the environmental management system, the changes shall be carried out in a planned manner. The changes shall be managed to ensure that the organization can achieve the intended outcomes of its environmental management system.

53

Support and Operation (7, 8)

- Purpose of the section:
- To develop an awareness of all Support and Operation of EMS.
- To be able to interpret all aspects on the Stage DO from PDCA Model into definable management activities
- State the requirements for documented information and explain the difference between maintaining and retaining documented information

54

Resources 7.1 ISO 14001:2026

- Human resources - specialized skills and knowledge
- Natural resources
- Infrastructure - organization's buildings, equipment, underground tanks and drainage system
- Technology and financial resources.

55

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

Clause 7.2: Competence ISO 14001:2026

The organization shall:

a) determine the necessary competence of workers that affects or can affect its EMS performance;
b) ensure that workers are competent (including the ability to identify aspect) on the basis of appropriate education, training or experience;
c) where applicable, take actions to acquire and maintain the necessary competence, and evaluate the effectiveness of the actions taken;
d) Appropriate documented information as evidence of competence.

Note: Applicable actions can include, for example, the provision of training to, the mentioning of, or the re-assignment of currently employed persons, or the hiring or contracting of competent persons.

56

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

Clause 7.3: Awareness ISO 14001:2026

Workers shall be made aware of:

a) the EMS policy and EMS objectives;
b) their contribution to the effectiveness of the EMS management system, including the benefits of improved EMS performance;
c) the implications and potential consequences of not conforming to the EMS management system requirements;
d) incidents and the outcomes of investigations that are relevant to them;
e) hazards, EMS risks and actions determined that are relevant to them;
f) the ability to remove themselves from work situations that they consider present an imminent and serious danger to their life or health, as well as the arrangements for protecting them from undue consequences for doing so.

57

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

Clause 7.4 Communication ISO 14001:2026

- **7.4.1 General**
- "The organization shall establish and implement the process(es) for internal and external communications relevant to the EMS, including:
  - **on what** it will communicate
  - **when** to communicate
  - **with whom** to communicate
  - **how** to communicate
- When planning its communications process(es), the organization shall:
  - take into account its compliance obligations;
  - ensure that environmental information communicated is consistent with information generated within the EMS and is reliable.
  - The organization shall respond to relevant communications on its EMS.
  - The organization shall retain documented information as evidence of its communications, as appropriate."

58

58

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

Clause 7.4 Communication ISO 14001:2026

- **Internal Communication**
- The organization shall:
  a) Internally communicate information relevant to the EMS among the various levels and functions of the organization, including changes to the EMS, as appropriate;
  b) ensure its communication process(es) enable(s) person doing work under the organization's control to contribute to continual improvement.”

59

59

Clause 7.4 Communication ISO 14001:2026

- **External Communication**

“The organization shall externally communicate information relevant to the EMS, as established by the organization’s communication process(es) and as required by its compliance obligations.”

60

60

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

Implementation Tips

You may develop an internal and external communication list if you like as below and don't forget to keep evidence of the communication such as meeting minutes, e-mails.

Internal and External Communication List			
What to communicate?	**When to communicate?**	**With whom to communicate?**	**How to communicate?**
Internal Communication			
Environmental/ OH&S Policy	Upon Hire and Annually	All employees	Via Face to Face Meeting
External Communication			
Environmental/ OH&S Policy	Upon contract initiation and annually	Contractors	Via E-mail
Dated:	Approved by:		

61

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

Clause 7.5 Documented Information ISO 14001:2026

- **7.5.1 General**
- The organization's EMS shall include:
  - a) documented information required by this International Standard
  - b) documented information determined by the organization as being necessary for the effectiveness of the EMS.

- **NOTE:** The extent of documented information for an environmental management system can differ from one organization to another due to:
  - the size of organization and its type of activities, processes, products and services;
  - The need to demonstrate fulfilment of its compliance obligations;
  - the complexity of processes and their interactions; and
  - the competence of persons doing work under the organization's control.

62

62

Clause 7.5 Documented Information
ISO 14001:2026

- **7.5.2 Creating and Updating**
- When creating and updating documented information, the organization shall ensure appropriate:
  - identification and description (e.g. a title, date, author, or reference number);
  - format (e.g. language, software version, graphics) and media (e.g. paper, electronic); and
  - review and approval for suitability and adequacy.

63

63

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

Clause 7.5 Documented Information
ISO 14001:2026

- **7.5.3 Control of Documented Information**
- Documented information required by the EMS and by this International Standard shall be controlled to ensure:
  - it is available and suitable for use, where and when it is needed;
  - it is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity).
- For the control of documented information, the organization shall address the following activities, as applicable:
  - distribution, access, retrieval and use;
  - storage and preservation, including preservation of legibility;
  - control of changes (e.g. version control);
  - retention and disposition.
- Documented information of external origin determined by the organization to be necessary for the planning and operation of the EMS shall be identified, as appropriate, and controlled.

- **NOTE:** Access can imply a decision regarding the permission to view the documented information only, or the permission and authority to view and change the documented information.

64

64

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

Clause 8.1 Operational Planning and Control
ISO 14001:2026

- "The organization shall establish, implement, control and maintain the processes needed to meet EMS requirements, and to implement the actions identified in 6.1 and 6.2, by:
  - establishing operating criteria for the process(es);
  - implementing control of the process(es), in accordance with the operating criteria.
- The organization shall control planned changes and review the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary.
- The organization shall ensure that outsourced processes are controlled or influenced. The type and extent of control or influence to be applied to these process(es) shall be defined within the EMS.

•***NOTE:*** *Controls can include engineering controls and procedures. Controls can be implemented following a hierarchy (e.g. elimination, substitution, administrative) and can be used individually or in combination."*

65

65

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

Clause 8.2 Emergency Preparedness and Response
ISO 14001:2026

- "The organization shall establish, implement and maintain the process(es) needed to prepare for and respond to potential emergency situations identified in 6.1.1.
- The organization shall:
  a) prepare to respond by planning actions to prevent or mitigate adverse environmental impacts from emergency situations;
  b) Respond to actual emergency situations;
  c) take action to prevent or mitigate the consequences of emergency situations, appropriate to the magnitude of the emergency and the potential environmental impact;
  d) periodically test the planned response actions, where practicable;
  e) periodically review and revise the process(es) and planned response actions, in particular after the occurrence of emergency situations or tests."
  f) Provide relevant information and training related to emergency preparedness and response, as appropriate, to relevant interested parties, including persons working under its control.
- The organization shall maintain documented information to the extent necessary to have confidence that the process(es) is (are) carried as planned.

66

66

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

Clause 9.1 Monitoring, Measurement, Analysis and Evaluation ISO 14001:2026

•**9.1.1 General**

- The organization shall monitor, measure, analyze and evaluate its environmental performance.
- The organization shall determine:
  a) what needs to be monitored and measured
  b) the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results;
  c) the criteria against which the organization will evaluate its environmental performance, and appropriate indicators;
  d) when the monitoring and measuring shall be performed;
  e) when the results from monitoring and measurement shall be analyzed and evaluated.
- The organization shall ensure that calibrated or verified monitoring and measurement equipment is used and maintained as appropriate.
- The organization shall evaluate its environmental performance and the effectiveness of the EMS.
- The organization shall communicate relevant environmental performance information both internally and externally, as identified in its communication process(es) and as required by its compliance obligations.
- The organization shall retain appropriate documented information as evidence of the monitoring, measurement, analysis and evaluation results.

67

67

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

Clause 9.1 Monitoring, Measurement, Analysis and Evaluation ISO 14001:2026

•**9.1.2 Evaluation of Compliance**

- “The organization shall establish, implement and maintain the process(es) needed to evaluate fulfilment of its compliance obligations.
- The organization shall:
  - determine the frequency that compliance will be evaluated;
  - evaluate compliance and take action if needed;
  - maintain knowledge and understanding of its compliance status.
- The organization shall retain documented information as evidence of the compliance evaluation result(s).”

68

68

Clause 9.2 Internal Audit ISO 14001:2026

- **9.2.1 General**
- The organization shall conduct internal audits at planned intervals to provide information on whether the EMS:
- conforms to:
  - the organization's own requirements for its EMS
  - the requirements of this International Standard
- is effectively implemented and maintained.

Clause 9.2 Internal Audit ISO 14001:2026

- 9.2.2: Internal Audit Program
- The organization shall establish, implement and maintain (an) internal audit program(s), including the frequency, methods, responsibilities, planning requirements and reporting of its internal audits. When establishing the internal audit program, the organization shall take into consideration the environmental importance of the processes concerned, changes affecting the organization and the results of previous audits.
- The organization shall:
  - define the audit criteria and scope for each audit;
  - select auditors and conduct audits to ensure objectivity and the impartiality of the audit process;
  - ensure that the results of the audits are reported to relevant management.
- The organization shall retain documented information as evidence of the implementation of the audit program and the audit results."

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

Implementation Tips

- Your organization can develop an internal audit schedule such as table below.

INTERNAL AUDIT SCHEDULE			
Processes to be audited	**Audit Date**	**Auditor**	**Auditee**
Dated:	Approved by:		

- Ensure that the assigned auditor is independent of the audited process.
- Your organization can record the results of the audit e.g. in the format of audit report and relevant results need to be communicated to the worker, workers' representatives if applicable and other relevant interested parties.
- Any audit nonconformities must be addressed per the corrective action process.

71

71

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

Clause 9.3 Management Review ISO 14001:2026

- "Top management shall review the organization's EMS at planned intervals, to ensure its continuing suitability, adequacy and effectiveness.
- The management review shall include consideration of:
  a) the status of actions from previous management reviews;
  b) changes in:
     i. external and internal issues that are relevant to the EMS;
     ii. The needs and expectation of interested parties, including compliance obligations;
     iii. its significant environmental aspects;
     iv. risks and opportunities
  a) the extent to which environmental objectives have been achieved;
  b) information on the organization's environmental performance, including trends in:
     i. nonconformities and corrective actions;
     ii. monitoring and measurement results;
     iii. Fulfilment of its compliance obligations;
     iv. audit results;
  a) the adequacy of resources
  b) relevant communication(s) from interested parties, including complaints;
  c) opportunities for continual improvement

72

72

Clause 9.3 Management Review ISO 14001:2026

- The outputs of the management review shall include:
  - conclusions on the continuing suitability, adequacy and effectiveness of the EMS
  - decisions related to continual improvement opportunities
  - decision related to any need for changes to the EMS, including resource
  - actions, if needed, when environmental objectives have not been achieved
  - Opportunities to improve integration of the EMS with other business processes, if needed:
  - any implications for the strategic direction of the organization
- The organization shall retain documented information as evidence of the results of management reviews.

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

Clause 10 :Improvement
Nonconformity and Corrective Action ISO 14001:2026

- When a nonconformity occurs, the organization shall:
  - react to the nonconformity and, as applicable:
    a) take action to control and correct it
    b) deal with the consequences, including mitigating adverse environmental impacts;
  - evaluate the need for action to eliminate the causes of the nonconformity, in order that it does not recur or occur elsewhere, by:
    a) reviewing the nonconformity;
    b) determining the causes of the nonconformity;
    c) determining if similar nonconformities exist, or could potentially occur;
  - implement any action needed;
  - review the effectiveness of any corrective action taken; and
  - make changes to the EMS, if necessary.
- Corrective actions shall be appropriate to the significance of the effects of the nonconformities encountered, including the environmental impact(s).
- The organization shall retain documented information as evidence of:
  - the nature of the nonconformities and any subsequent actions taken
  - the results of any corrective action.

Improvement

- Purpose of the section:
- Outline and explain the process involved in improving the environmental management system

75

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

Nonconformity and corrective actions

- “React” to the non-conformity:
  - Actions to control it
  - Deal with the “consequences
- Eliminate the cause
  - Review
  - Determining their cause
  - Other similar nonconformities do or potentially could exist
-
- Implement actions
- Review the effectiveness
- Changes if necessary to the EMS

76

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

CORRECTIVE ACTION

- Taken to prevent recurrence whereas
- Appropriate to the significance of the effects
- Root cause analysis combined with corrective action to help understand the cause of the deviation and potentially prevent recurrence of a similar problem.
- There can be more than one cause for a nonconformity
- One of the key purposes of an environmental management system is to act as a preventive tool

77

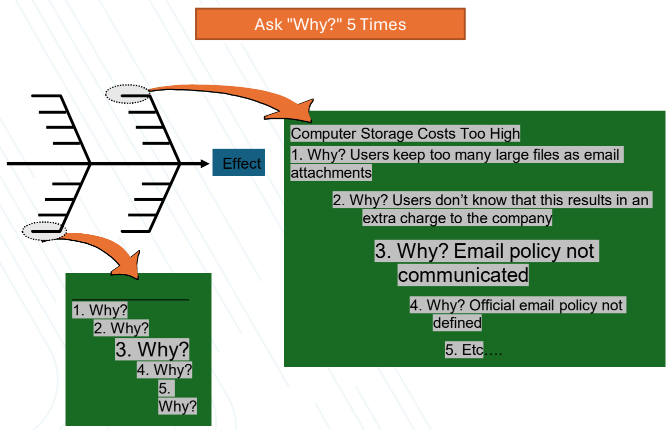
مركز افاق البيئة للتدريب
Environmental Horizons Training Center

Root cause analysis

- Finding real causes of the problem and dealing with it rather than continuing to deal with the symptoms.
- A step by step method that leads to the discovery of a root cause or root causes.
- An investigation traces the cause and effect trail from the end failure (impact/ problem/ issue/ unwanted situation) back to the root cause.
- Identifying the real and potential threats and their underlying root causes, to the health of wetlands.

78

Root Cause Analysis



79

Continual improvement

- The organization shall continually improve the suitability, adequacy or effectiveness of the environmental performance.
- The organization can use the processes such as
- leadership,
- planning
- and performance evaluation,

to achieve improvement.

80

81

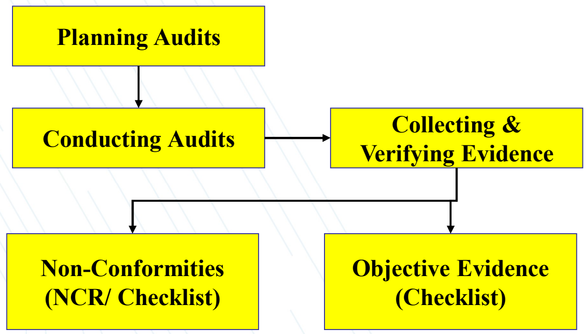
Course Objectives

- Upon completion of this course you will:
  - Be able to prepare for, report on, carry out and follow up an assessment or audit.
  - Have achieved the means to assess and improve your own organisations systems.

82

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

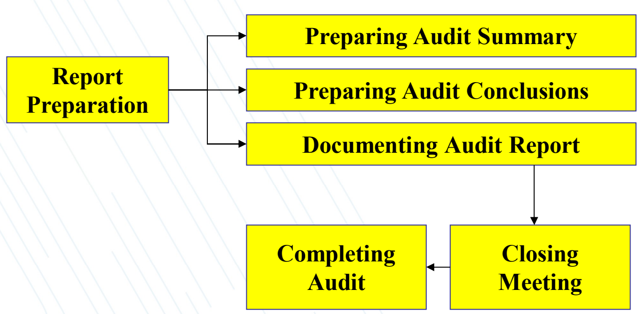
Course Plan



83

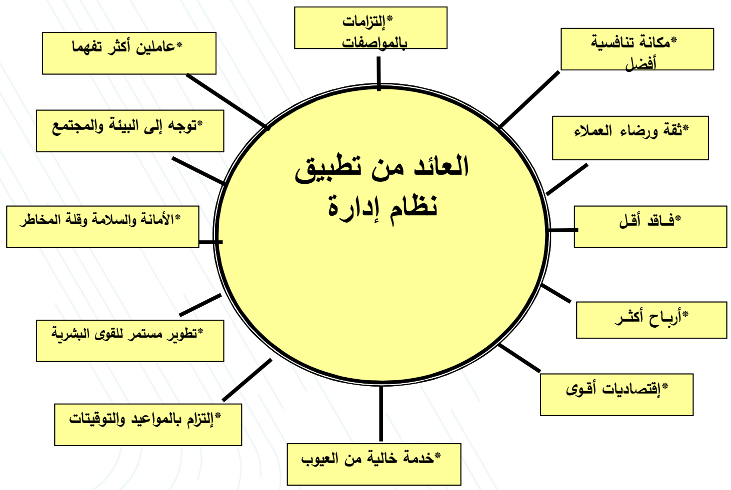
مركز افاق البيئة للتدريب
Environmental Horizons Training Center

Course Plan



84

مركز افاق البيئة للتدريب
Environmental Horizons Training Center



85

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

Audit

Systematic, independent and documented process to obtain audit evidence and evaluating it objectively to determine the extent to which the agreed criteria are fulfilled

فحص منهجي (نمطي) مستقل لتحديد ما إذا كانت أنشطة الشركة ونتائجها متطابقة مع التدابير والإجراءات المخططة والمستهدفة وإنه سيتم تنفيذ ذلك بكفاءة وفاعلية وأنها كافية وقادرة على تحقيق الأهداف الموضوعة

86

مركـز افـاق البيئـة للتدريب
Environmental Horizons Training Center

Concepts Relating to Audit

AUDIT

- Audit Programme
- Audit Scope
- Audit Criteria
- Audit Evidence
- Audit Findings
- Audit Conclusions
- Auditee
- Audit Client
- Audit Team
  - Technical Expert
  - Auditor
    - Qualifications

87

مركـز افـاق البيئـة للتدريب
Environmental Horizons Training Center

من ينفـــذها ؟؟؟

المراجع الداخلي

INTERNAL AUDITOR

شـخص مؤهـل لتنفيـذ المراجعـات ، ولديـه السلطـة لآداء هذا العمل .

Qualified & Authorized

88

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

أولا: تعريفات ومصطلحات

المراجعة Audit
نشاط رسمي وحيادي ومرتب بغرض التحقق من تنفيذ المطالب ، وهذا النشاط بواسطة شخصي أو اكثر لهم الاستقلالية عمل هو جارى مراجعته

المراجع Auditor
هو شخصي مؤهل للقيام بأعمال المراجعات

المراجع عليه Auditee
هي المؤسسة (القسم / الإدارة) تحت المراجعة

فريق المراجعة Audit Team
مراجع أو اكثر مكلفين بإجراء المراجعة

معايير المراجعة Audit Criteria
* السياسات * الممارسات * الإجراءات * السجلات * المطالب

89

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

تعريفات ومصطلحات

ناتج المراجعة Audit Finding
هو نتيجة تقييم الدليل الموضوعي الذي تم الحصول عليه مقارنا بمعايير المراجعة المتفق عليه

خلاصة المراجعة Audit Conclusion
هو رأى أو حكم تخصصي تم التعبير عنه بواسطة المراجع عن موضوع المراجعة مبنى ومقتصر على تقدير المراجع لنواتج المراجعة

خلاصة المراجعة Audit Conclusion
هو إثبات بواسطة الفحص وتقديم الدليل الموضوعي بأن المطالب المحددة تم استيفاؤها.

90

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

تعريفات ومصطلحات

إجراء وقائي Preventive action
إجراء يتم اتخاذه لإزالة سبب عدم مطابقة محتمل حدوثها أو عيب وذلك بغرض منع الحدوث

إجراء تصحيحي Corrective action
إجراء يتم اتخاذه لإزالة سبب عدم مطابقة موجود أو عيب وذلك بغرض منع الحدوث

الدليل المادي الملموس Objective Evidence
المعلومات التي يمكن إثباتها والمبنية على الحقائق خلال الملاحظات والقياس والاختبار أو أي وسائل أخرى ، ويمكن أن تكون وثائق – التسجيلات – الحالة الفنية للمعدات (صيانة – اختبار) – أدوات – منتج غير معرف – ظروف بيئية

الطرف الثالث Third Party
هو شخص أو جهة (Body) محايدة وذات استقلالية عن الأطراف المعنية بالموضوع

91

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

ISO 19011

خطوط إرشادية لمراجعة نظام الإدارة والتي توصف العمليات الخاصة بتنفيذ المراجعات و تحتوى على إرشادات للآتي :-

أساسيات المراجعات (مبادئ المراجعة)
إدارة برامج المراجعات
أنشطة المراجعات
كفاءة مراجعي نظام الإدارة

92

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

Principles Of Auditing ثانيا : مبادئ المراجعات

تبنى المراجعات الداخلية على عدة مبادئ أساسية للتأكيد على أنها أداة إدارية فعالة

ثلاثة أساسيات:-

- الحيادية و السرية
- العينات
- الأدلة المادية

93

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

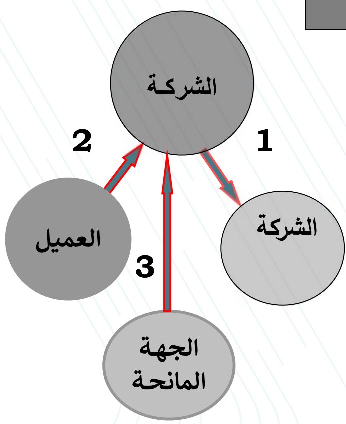
Principles of Auditing مبادئ المراجعات

تؤكد مبادئ المراجعات على الآتي :-

- **المراجعون موضوعيون منهجيون ومستقلون ويمكنهم إبداء المعلومات التي تمكن الإدارة من تحسين فاعلية أداء الأعمال**
- **المراجعات وبرامج المراجعة تكون**
  *** لها أهداف واضحة   * مخططة**
  *** ذات سلطة   * يتم إدارتها بطرق محددة ووسائل معروفة**
- **ملاحظات المراجعة ونتائج المراجعة تكون مسجلة ويتم متابعتها**
- **تعامل فريق المراجعة بحرية دون تقييد أو إنحياز**
- **العلاقة بين فريق المراجعة والمراجع عليهم تكون تعاونية و إيجابية**
- **الدليل المادي الملموس يبنى على عينة من المعلومات المتاحة**

94

ثالثا: أنواع المراجعات



مراجعة الطرف الأول

(المراجعة الداخلية)

مراجعة الطرف الثاني

(مراجعة العميل للشركة)

مراجعة الطرف الثالث

(وتقوم بها الجهات المانحة للشهادات)

95

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

أنواع المراجعات

مراجعات الطرف الأول (المراجعات الداخلية) First party Audit

تتم عن طريق أشخاص مؤهلين من المؤسسة على نظام الإدارة وإجراءاتها بهدف تأكيد صيانة نظام الإدارة وتطويره وتحسينه طبقا لمتطلبات المواصفة القياسية

وينتج عنها المعلومات والبيانات اللازمة للآتي :

- **تقييم الإدارة العليا لنظام الإدارة ومدى فاعليته**
- **الإجراءات التصحيحية**
- **الإجراءات الوقائية**
- **إجراءات التحسين والتطوير**

96

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

أنواع المراجعات

مراجعات الطرف الثاني (المراجعات الخارجية) Second Party Audit

تتم عن طريق المؤسسة على الموردين وموردي الباطن بهدف :

- **تحديد ملاءمة الموردين**
- **إظهار أداء الموردين / موردي الباطن**
- **تأكيد على قدرة الموردين للوفاء بالمتطلبات التعاقدية والمشتريات**
- **و يمكن أن تنفذ هذه المراجعات على نظام الإدارة بالمؤسسة بواسطة العملاء أو من ينوب عنهم من خلال صيغة تعاقدية**

97

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

أنواع المراجعات

مراجعات الطرف الثالث (مراجعات خارجية) Third Party Audit

مراجعة عن طريق جهة محايدة تعاقديا للمؤسسة أو مورديها وزبائنها (جهات منح الشهادات) على نظام الإدارة ، بغرض تحديد ملاءمة نظام الإدارة والوثائق المصاحبة والتطبيق لها مع المواصفات القياسية المحددة بغرض الاعتماد ومنح شهادات المطابقة للمواصفة القياسية.

ملحوظة :

الأطراف المعنية بالموضوع هي

- **المؤسسة : وتسمى الطرف الأول**
- **الزبـــون : ويسمى الطرف الثاني**

98

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

لماذا ؟

الهـدف من المراجعـة

التوثيـق طبقـا للمتطلبـات

التطبيـق طبقـا للتوثيـق

فعـاليـة التطبيـق

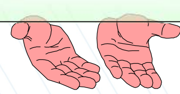
تحـديد فـرص التحسـين

99

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

مـا ذا ؟

مـا يجـب مراجعتـه



مراجعـة النظـام

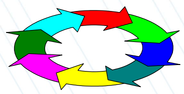
مراجعـة عمليـات / إجـراءات

مراجعـة منتـج / خـدمة

مراجعـة عنـاصر النظـام

100

رابعا : مراحل المراجعة



ما قبل المراجعة
Pre - Audit Activities

- الإعداد والتخطيط .
- الزيارة الميدانية .
- الخطة التفصيلية .

المراجعة Auditing

- الجلسة الافتتاحية .
- المراجعة وإعداد التقرير .
- الجلسة الختامية .

مابعد المراجعة
Post-Audit Activities

- إعداد التقرير النهائي .
- الإجراءات التصحيحية .
- التسجيل والمتابعة

101

Phases of an Audit مراحل المراجعة

Planning and preparation	التخطيط والإعداد للمراجعة ➢
Performance	تنفيذ المراجعة ➢
Reporting And Follow-up	التقرير والمتابعة ➢

102

مركـز افـاق البيئـة للتدريب
Environmental Horizons Training Center

1- التخطيط للمراجعة Audit Planning

جميع المراجعات الداخلية للجودة يجب أن تكون مخططة ومحددة بتوقيتات زمنية ، كما انه يمكن إجراء جودة داخلية غير مخططة وان كانت لابد أن تبلغ الجهة المراجع عليها بموعد إجراء المراجعة وخطة المراجعة وفى جميع الأحوال فانه يتم إجراء المراجعات في الحالات الآتية :-

-عندما تريد المؤسسة الصناعية / الخدمية أن تتأكد من فاعلية نظام الإدارة بها

-عندما يريد العميل التأكد من أن نظام الإدارة لدى المورد يؤهله لتوريد المنتج /الخدمة المتفق عليها وذلك سواء قبل أو أثناء تنفيذ التعاقد

-إذا حدث تغيير جوهري في النظام بالمؤسسة الصناعية / الخدمية

-عندما يكون من الضروري للمؤسسة التحقق من فاعلية الإجراءات التصحيحية المنفذة

103

مركـز افـاق البيئـة للتدريب
Environmental Horizons Training Center

2-الإعداد للمراجعة Audit Preparation

أن عملية الإعداد للمراجعة تعتبر مرحلة من مراحل المراجعة حيث أن الإعداد الجيد للمراجعة يجعل باقي المراحل تتم بتلقائية وحرفية وحيث أن المراجعة هي أحد أنشطة النظام لذا يجب التخطيط لها وتحديد الهدف الرئيسي من تنفيذها وهنا تجدر الإشارة إلى أن الإعداد الجيد للمراجعة يتطلب بعض النقاط الهامة التي يجب أن يلم بها المراجع والمراجع عليه

للمراجع Auditor

➢ جعل المراجع على دراية بـ :-
* سبب إجراء المراجعة * مجال التحقق المطلوب

➢التأكد من أن المراجع لدية معلومات مبدئية تسمح بـ :-
* إعداد برنامج المراجعة * إعداد وثائق إجراء المراجعة
* بيانات عن فريق المراجعة * إبلاغ برنامج للجهة التي سيتم إجراء المراجعة عليها
* القسم /الإدارة تحت الفحص Auditee

➢جعل المراجع عليه **Auditee** على دراية بـ
* سبب إجراء المراجعة * مجال التحقق المطلوب
* برنامج المراجعة * توقيت تنفيذ المراجعة

الإعداد اللازم للتأكد من أن المراجعة تتم طبقا للمخطط له للوصول إلى النتائج المرجوة

104

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

2-الإعداد للمراجعة Audit Preparation

تحتوى مرحلة الإعداد والتجهيز على الآتي :-

- الحصول على ملخص عن غرض ومجال المراجعة
- دراسة الوثائق ومراجعة الإجراءات المطلوب مراجعتها Desk Study
- مراجعة نتائج المراجعة السابقة على نفس القسم /الإدارة
- إعداد برنامج المراجعة لتحديد الوقت اللازم لتنفيذ المراجعة (بعد جمع البيانات المطلوبة عن مكان المراجعة – حجمه – الأنشطة والعمليات – حجم العمالة)
- إعداد قوائم الأسئلة Check List

قوائم الأسئلة

- هي أسئلة تغطى جميع النقاط المطلوب مراجعتها في الإجراء /المواصفة/المتطلبات التي تتم المراجعة طبقا لها
- هي الإداة الرئيسية التي يستخدمها المراجع في القيام بأعمال المراجعة لتذكرة المراجع بالنقاط الرئيسية المراد التحقق منها وللتأكد أن الأهداف ومجال المراجعة قد تم تغطيتها ومراجعتها

105

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

2-الإعداد للمراجعة Audit Preparation

استخدامات قوائم المراجعة

- تستخدم كذاكرة مساعدة للمراجع
- التأكد من أن عناصر المواصفة يتم تطبيقها
- التأكد أن جميع المتطلبات يتم تغطيتها
- إثبات أن المتطلبات الموضوعة يتم تحقيقها
- تستخدم كمرجع للأسئلة في المراجعات
- تساعد في كتابة تقرير المراجعة النهائي

106

كيف ؟

تتم المراجعـــة

الإستفســــــارات

الأنشـطة تحت المراقبـــة

المعلومـــة الصحيحـــة

طريقــة إلقــاء الأسـئلة

الإتصـــــالات

107

مركز افـاق البيئة للتدريب
Environmental Horizons Training Center

كيف ؟

تتم المراجعـــة

التحــــقق

المشـــاهدة

المناقشــــة

التســـجيل

الحكم على الأشـــياء

108

مركـز افـاق البيئـة للتدريب
Environmental Horizons Training Center

3- تنفيذ المراجعة Audit Performance

مراحل تنفيذ المراجعة

Opening meeting	➢ الجلسة الافتتاحية
Conduct The Audit	➢تنفيذ المراجعة
Review Findings	➢مراجعة ملاحظات المراجعة
Present The Findings (Private Meeting)	➢الاتفاق على نتائج المراجعة
Closing Meeting	➢ الجلسة الختامية
Reporting	➢التقرير

109

مركـز افـاق البيئـة للتدريب
Environmental Horizons Training Center

الجلســة الافتتاحية Opening Meeting

Audit Team	تقديم فريق المراجعة .	1
Audit Purpose / Scope	توضيح الغرض من المراجعـة .	2
Audit Program	عرض سريع لبرنامج المراجعة .	3
Audit Plan	الإتفاق على تسلسل وتوقيتات المراجعة .	4
Escorts	تحديد المسئولين المراجع عليهم .	5
Closing Meeting	الإتفاق على موعد الجلسة الختـامية .	6
Clarifications	الإجـابة على الإستفســارات .	7
Confidentiality	التأكيـد على سرية المعلومات والبيانات .	8
Sampling	الإشـارة إلى ان المراجعة ستتم بنظـام العينـات .	9

110

مركـز افـاق البيئـة للتدريب
Environmental Horizons Training Center

3- تنفيذ المراجعة Audit Performance

تنفيذ المراجعة

على المراجع أن يكون إيجابيا بناءا ويؤدى المراجعة بمهارة واقتدار ولتحقيق ذلك عليه القيام بالآتي :

- مقابلة مسئول المنطقة / القسم المراجع عليه
- ذاتي التحدث للأشخاص القائمين بأداء العمل وليس لرؤسائهم
- شرح الهدف من الزيارة وأنها ليست لتصيد الأخطاء وكشف العيوب
- دائما هادئ ومؤدب وودود مع المراجع عليهم
- مجامل قدر الإمكان ولا يقلل من حجم ما يقوم به المراجع عليهم وان كان به أخطاء
- التحدث بأسلوب واضح دون غموض أو لبس
- يجب على المراجع استخدام الحواس الآتية :-

%80
السمع : الإنصات الجيد (إصغاء إيجابي)
النظر : الرؤية الجيدة بعمق لعدد محدود من الأشياء

%20
السؤال : توجيه أسئلة مفتوحة اعتمادا على قوائم الأسئلة وتسجيل الملاحظات
وهناك ألفاظ للأسئلة

من – لماذا – ما – متى – أين – كيف

111

مركـز افـاق البيئـة للتدريب
Environmental Horizons Training Center

3- تنفيذ المراجعة Audit Performing

مثال

- Show me what you do?
- Where is that kept?
- How is that carried out ?
- When would you do this ?
- What happens after this is completed ?
- Who will do that ?

112

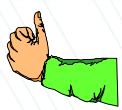
مركـز افـاق البيئـة للتدريب
Environmental Horizons Training Center

3- تنفيذ المراجعة Audit Performance

DO	DO NOT
– قارئ جيد للإجراءات.	· لا تخرج عن الموضوع بأسئلة جانبية
–الوصول في التوقيت المحدد دون تأخير	● الا تضيع الوقت بمناقشات وجدل مع المراجع عليه واستمع بإيجابية لما يقول
– البحث عن الحقائق والتحقق منها·	•التحكم في زمام المناقشة (عدم إضاعة الوقت)
– سؤال أصحاب العمليات الفعليين وتلقى الإجابة منهم وليس من رئيسه أو زميله	••لا تسمح للمراجع عليه أن يقود المناقشات ويملى عليك ما يجب أن تفعله
- التحدث قليلا ما أمكن	••تحاشى جو التعنيف واللوم وانتقاد الأشخاص أمام رؤسائهم
– تجنب استخدام الألفاظ المبهمة	••تحاشى التقارير الشخصية
- الأسئلة واضحة ومختصرة	• لا انتقاد ولا توبيخ ولا تهكم ولا تسخر من أحد
- كن مجاملا ببيان الإيجابيات قبل السلبيات	
- مؤدب وهادى ولبق ومسيطرا على نفسك طوال فترة المراجعة	

113

مركـز افـاق البيئـة للتدريب
Environmental Horizons Training Center



خصـائص المراجـع الجيـد

1. القـدرة على التعبير عن المفاهيم والأفكـار شفهيا وكتـابة .
2. المهــارات الشخصيــة :
   - الدبلوماسـية في توضيح عدم المطـابقة .
   - الحصـول على المعلومة الصحيحة .
   - القدرة على الإنصـات .
3. القدرة على الاحتفاظ بالحيادية التي تسمح بإتمام مسئولياته كمراجع .
4. مهــارات التنظيم الشخصي .
5. الحكم طبقا للدليل المـادي **Objective Evidence** .

114

مركـز افـاق البيئـة للتدريب
Environmental Horizons Training Center

3- تنفيذ المراجعة Audit Performance

السمات الشخصية للمراجع الجيد :	Personnel Characteristics
– مستمع جيد	Good Listener
– متفتح الذهن	Open minded
- دبلوماسى فى التعامل مع الاخرين	Diplomatic
– محايد وغير متحيز	Unbiased
- امين فى نقل الحقائق دون تزييف	Honest
– صبور طويل البال قوى التحمل (لا يغضب بسرعة)	Patient
– ملتزم (منضبط ذاتيا)	Self-disciplined
– مهتم بالمراجعة (ليس فقط تأدية واجب)	Interested
– مقدرا لمشاعر الآخرين (غير متجمد الإحساس)	Empathetic
– ايجابى وموضوعى فى التعامل	Positive

115

مركـز افـاق البيئـة للتدريب
Environmental Horizons Training Center

3- تنفيذ المراجعة Audit Performance

التخلص من الصفات الاتية :	NOT TO BE
– الا يكون :	
– متغطرس ومتعالى	Arrogant
– متشبث برأيه	Opinionated
- كسول	Lazy
– خجول	Shy
– متردد ويخشى أن يسأل	Timid
– سهل الانخداع	Gullible
- كثير الجدال	Argumentative
– معجب بنفسه	Self - important

116

أنشطـة ومسئوليات فريق المراجعة
Responsibilities of the Team

- المشاركة فى إعداد قوائم الأسئلة
- الالتزام بمتطلبات المراجعة
- تنفيذ المهام المطلوبة بفاعلية وكفاءة
- كتابة تقرير عدم المطابقة وملاحظات المراجعة لرئيس فريق المراجعة
- مساعدة ومعاونة رئيس فريق المراجعة

117

أنشطـة ومسئوليات رئيس فريق المراجعة

1. إختيـار فريق المراجعة وتحديد مدى الاحتيـاج لمتخصصين .
2. إدارة المراجعة وإدارة عمل فريق المراجعين .
3. التنسيق مع الجهة المراجع عليها لتنفيذ المراجعة .
4. إعـداد خطة المراجعة والمشاركة في إعداد قائمـة الأسئلة .
5. تقـدير درجة عدم المطابقة التي تظهر .
6. إبـلاغ عدم المطابقة فورا للمراجع عليه .
7. إعداد وتوزيع تقـرير المراجعـة .
8. متابعـة الإجـراءات التصحيحيـة والتأكد من فاعليتها .

118

أنشطـة ومسئوليـات المـراجع

1. التـأكـد من مجـال تطبيـق المراجعـة .
2. المشـاركة في إعـداد الأسـئلة .
3. جمـع وتحليـل المشـاهدات للتأكد من فاعليـة تطبيـق النظـام .
4. البحـث عن الحقـائق الملموسـة **Objective Evidence** .
5. كتـابة تقـرير عـدم المطـابقـة .
6. مسـاعدة رئيس فريق المراجعة في تقدير حـالات عدم المطـابقة وإعــداد تقـرير المراجعـة .
7. تسـجيل جميـع الملاحظـات وأمـاكن تواجـدها .
8. المحـافظـة على القيم والأخـلاق وخلـق روح التعـاون مع باقي أفـراد فـريق المراجعـة .

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

مسـئوليـات المـراجع عليهم Auditee

* إبلاغ العاملين بأهداف ومجال تطبيق المراجعة
* تحديد المسئولية للمراجع عليهم وإبلاغهم بمواعيد وخطة المراجعة
* تجهيز الموارد اللازمة للمراجعين للتأكد من فاعلية المراجعة
* تسهيل عمل المراجعين وتوفير الإمكانيات والمساعدات لجمع الحقائق عن مطابقة النظام للمتطلبات
* التعاون مع المراجعين لتحقيق أهداف المراجعة
* تحديد الإجراءات التصحيحية الفعالة التي سيتم اتخاذها لملاشاة الملاحظات

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

حالات عدم المطابقة

وصف بالدليل المادي الملموس ونص المتطلبات بالمواصفة

يتم تحديد الحيود واخذ توقيع ممثل الجهة المراجع عليها على النموذج الخاص بذلك والأسلوب الأمثل في التعامل مع حالات عدم المطابقة أثناء المراجعة الآتي :-

* الاتفاق المبدئي على طبيعة نقاط عدم المطابقة المتواجدة
* كتابة ملاحظات عن الموجودات وإعادة صياغتها لاحقا
* كتابة مسودة بالموجودات في نهاية يوم المراجعة ثم كتابتها في شكلها النهائي

صياغة حالات عدم المطابقة : جملة قصيرة تحتوى على :-

* وصف عام لحالة عدم المطابقة (صياغة مختصرة وصحيحة لغويا وفنيا)
* وصف دقيق لعدم المطابقة الموجود (وضوح الصياغة)
* ذكر الدليل المادي للحالة (موضوعية حالة عدم المطابقة)
* نص المتطلبات في المواصفة (استيفاء مبررات عدم المطابقة)

121

مركز افاق البيئة للتدريب
Environmental Horizons Training Center

حالات عدم المطابقة

➢ طلب إجراء تصحيحي **Corrective Action Request (CAR)**

يستخدم لوصف عدم المطابقة والإجراء التصحيحي المطلوب لها

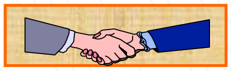
- لتقرير حالة عدم المطابقة الموجودة
- توضيح مستوى حالة عدم المطابقة (حرج – جسيم – خفيف)
- تسجيل قبول حالة عدم المطابقة من المراجع عليه (ممثل الجهة المراجع عليها)
- تسجيل الإجراء المطلوب لتصحيح أو إزالة حالة عدم المطابقة
- تسجيل قبول المراجع عليه للإجراء المطلوب اتخاذه لإزالة حالة عدم المطابقة

ويوضح الآتي :-

-الإجراء المراجع وتاريخ إصداره
-المنطقة المراجع عليها
-المواصفة المراجعة ورقم البند فيها
-اسم المراجع
-وصف لحالة عدم المطابقة

122

Closing Meeting الجلسة الختامية



1. شكر للمراجــع عليهم على تعاونهم .
2. أطلب إرجــاء الأســئلة .
3. تكلم عن ملاحظات المراجعة متضمنة حالات عدم المطابقة التى ظهرت.
4. شرح وتفسير لنموذج *CAR* واستكماله (المراجع و المراجع عليه) .
5. اخذ توقيع المراجع عليهم أو من يمثلهم في الخانة الخاصة CAR .
6. الرد على الاستفسارات للتوضيح فقط
7. الإتفاق على نتيجة المراجعة .
8. ترك صورة من حالات عدم المطابقة للمراجع عليه لتحديد الإجراءات التصحيحية المطلوبة
9. توضيح عملية إعداد التقرير التفصيلى وزمن تسليمه فى أقرب فرصة والمتابعة المطلوبة
10. إحتفظ بتسجيل عن الإجتماع والحاضرون 0

123

تقرير المراجعة والمتابعة

- تقرير المراجعة والمتابعة **Audit Reporting And Follow Up**

رئيس فريق المراجعة هو المسئول عن دقة وإكتمال تقرير المراجعة

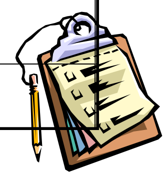
124

EXAMPLE OF AN AUDIT CHECKLIST

CHECKING LIST FOR GMP ASSESSMENT

Date : **Location** : **Warehouse**
Auditor : **Auditee** :

DESCRIPTION	GMP.REF.	PARAMETER	AUDIT FINDING
Personnel	1.2.1 5.1.2 2.1.5	- Organization structure - Personnel hygiene - Training record	
Storage area	10.1.1 3.1 3.6 3.9 & 3.10 3.12.2	- Design and layout of defined area - Flow of personnel and goods - Structure of the storage area, based on GMP - HVAC system - Record of monitoring parameter	
Sanitation	3.1 5.3	- Pest record program - The map of bait - The cleanliness of weighing apparatus	
Documentation	4.3 10.2.2.3 10.2.2.1	- Record of maintenance and calibration of weighing apparatus - The effectiveness of label system - Inventory stock control	



125

125

?

126

مركز آفاق البيئة للتدريب
Environmental Horizons Training Center

Thank You

127

127

مركز آفاق البيئة للتدريب
Environmental Horizons Training Center

شكرًا لكم

128