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## CQI AND IRCA CERTIFIED EMS ISO 14001:2015 LEAD AUDITOR COURSE (VILT)



## OVERVIEW

- The aim of this course is to provide delegates with the knowledge and skills required to perform first, second and third-party audits of environmental management systems against ISO 14001, in accordance with ISO 19011 and ISO/IEC 17021, as applicable
- This course is designed for delegates who have prior knowledge of environmental management principles and concepts, and the requirements of ISO 14001. Learning objective and enabling objective require delegates to apply and extend this prior knowledge in the context of performing a management system audit. CQI and IRCA will accept training courses that include some coverage of the specific environmental management related clauses of ISO 14001, sufficient to enable delegates to refresh their prior knowledge.
- This course does require delegates to audit an environmental management system against the requirements of ISO 14001, including the ability to identify audit evidence to establish conformity or nonconformity
- Course examination questions could relate to any requirement of ISO 14001 and the expected prior knowledge.

### Summary of Course Features

- ✓ CQI and IRCA (UK) Approved Course
- ✓ ZOOM VILT platform to deliver this VILT course
- ✓ 10 minutes break for every 1 hour chapters/exercises e-learning
- ✓ 10 or 5 days e-learning and an examination.
- ✓ Candidates learn easily through VILT presentations, AL (Accelerated learning) exercises and workshops
- ✓ Risk-based thinking, PDCA and the process approach
- ✓ Focus on the more important ("high-risk") processes and their outputs

## LEARNING OBJECTIVES

### KNOWLEDGE

- Explain the purpose of an environmental management system, of environmental management systems standards, of management system audit, of third-party certification and the business benefits of improved performance of the environmental management system.
- Explain the role and responsibilities of an auditor to plan, conduct, report and follow-up an environmental management system audit accordance with ISO 19011, and ISO/IEC 17021, as applicable

### SKILLS

- Plan, conduct, report and follow-up an audit of an environmental management system to establish conformity (or otherwise) with ISO 14001 and in accordance with ISO 19011, and ISO/IEC 17021, as applicable.

## WHO SHOULD ATTEND

- Management Representatives, internal auditors, 2nd party & 3rd party auditors who are responsible to provide "value added" EMS audit to enable Continual Improvement.

# COURSE CONTENT

## KNOWLEDGE

- Explain the purpose of an environmental management system, and the business and societal benefits of improving environmental performance.
- Explain the ISO 14001, PDCA cycle and EMS requirements.
- Explain the purpose of, and differences between, first-party, second-party and third-party certification audit of management systems, including the role of the EMS auditor in evaluating an organization's capability to protect against, reduce the likelihood occurrence of, prepare for, respond to, and recover from, disruptive incidents when they arise. Explain the benefits of third-party accredited certification of environmental management systems for organizations and stakeholders.
- Explain the role of an auditor to plan, conduct, report and follow-up an environmental management system audit in accordance with ISO 19011 and ISO/IEC 17021, as applicable.

## SKILLS (PRACTISED THROUGH TASKS IN SIMULATED, AUDIT SITUATIONS)

Skills are to be practiced and tested through tasks and in real, or simulated, audit situations such as when planning the audit, conducting the audit, auditing environmental management system requirements, generating audit findings, reporting the audit and following up the audit.

## PREREQUISITE

Students are expected to have the following prior knowledge:

### MANAGEMENT SYSTEM

- The Plan, Do, Check, Act (PDCA) cycle
- The core elements of a management system and the interrelationship between top management responsibility, policy, objectives, planning, implementation, measurement, review and continuous improvement.

### ENVIRONMENTAL MANAGEMENT

- The three intended outcomes of an environmental management system (see ISO 14001) namely enhancement of environmental performance, fulfilment of compliance obligations and achievement of environmental objectives.

### ISO 14001

- Knowledge of the requirements of ISO 14001 and the commonly used environmental management terms and definitions, as given in ISO 14001, which may be gained by completing CQI and IRCA Certified EMS Foundation Training course or the equivalent.

## COURSE TUTORS

CQI and IRCA Reg. Lead Auditor and approved Lead Tutors / Tutors who are highly qualified and professional graduates, experience in the field of QA, Environmental, OHS and familiar with local environment.

## Registration Form

Course Name: **CQI and IRCA Certified EMS ISO 14001:2015 Lead Auditor Course (VILT) (10-Day or 5-Day)**

Date:

Location:

Course Fee (per pox):

*Type/write in the text box below to fill up the form:*

#1	Title & Full Name:	<input type="text"/>	<input type="text"/>
	Designation:	<input type="text"/>	
	Academic Qualification:	<input type="text"/>	
	Meal Preference:	<input type="checkbox"/> Vegetarian <input type="checkbox"/> Non-vegetarian <input type="checkbox"/> Muslim	
	Company & Tel.:	<input type="text"/>	<input type="text"/>
	Company Address:	<input type="text"/>	
	Contact Person:	<input type="text"/>	
	Contact Tel. & Email:	<input type="text"/>	
	A cheque/bank draft no.:	<input type="text"/>	For USD <input type="text"/>

### Notes:

- 1. You are required to participate in the whole day training programme comprising at least 40 hours of lecture, workshop & study presentations. The Course criteria are in accordance with PR315 Course Specification.**
- 2. You will be assessed continuously by our tutors over the all days & must pass the continuous assessment before you are allowed to sit for the examination.**
- 3. If you have failed to fulfil the above requirements, you will not be entitled to receive the Certificate of Achievement.**
- 4. You are required to read and understand the Malpractice and Maladministration Policy (page 5-7) and CQI and IRCA Privacy Notice (attached CQI and IRCA Learner Privacy Notice v3 October 2022). If you are found to commit unexpected incidents or suspicious activity in the training or examination, you will be disqualified from attending this course and examination and will not receive any certificates.**

### Declaration:

- ☐ I understood that for cross-border telegraphic transfer payments, remitter have to bear both local and overseas charges
- ☐ I acknowledged & understood the pre-requisite requirement of this course as prescribed in the training program.
- ☐ I had read and understood the above notes and shall comply with IQCS and CQI and IRCA's regulations.

.....  
( Signature of candidate )

...../...../.....  
(Date)

Add: **IQCS CERTIFICATION, 1-03-02, e-Gate, Lebu Tunku Kudin 2, Glugor, and 11700 Penang, Malaysia. Tel: (+604) 668 2291/668 2368**  
Email: [iqcs@iqcs.net](mailto:iqcs@iqcs.net) Web: <http://www.iqcquality.net>

## **MALPRACTICE AND MALADMINISTRATION POLICY**

### **Definitions**

#### **1.0 Malpractice**

Malpractice means “any deliberate activity, neglect, default or other practice that compromises or could compromise the assessment process, the integrity of a CQI and IRCA Certified Course, the validity of a result or certificate, or the reputation and credibility of the CQI and IRCA, IQCS, and CQI and IRCA Certified Courses”. Malpractice includes issues such as deliberate falsification of records in order to claim certification, cheating in examinations and unethical conduct by ATL staff, tutors, branches or subcontractors.

Malpractice also includes failure by the ATL to:

- Investigate allegations and suspected malpractice and notify the IQCS promptly
- Co-operate with the IQCS’s investigations

#### **2.0 Maladministration**

Maladministration means “any actions, neglect, default or other practice that results in an ATL not complying with the CQI’s IQCS’s criteria and requirements as specified in the CQI and IRCA Quality Handbook”. This could be due to mismanagement, incompetence or inefficiency.

#### **3.0 Examples of malpractice and maladministration**

Malpractice or maladministration can be committed by a variety of people both inside and outside the ATL e.g. learners, tutors, ATL staff, invigilators, markers, subcontractors etc.

The following are examples of acts that will be deemed to constitute malpractice or maladministration in line with the definitions given above. This list is not exhaustive, and the IQCS reserves the right to deem as malpractice or maladministration other acts that might occur.

#### **4.0 Examples of malpractice by learners**

- Arranging for someone else to sit a CQI and IRCA examination on his/her behalf
- Impersonation of another learner
- Being in possession of confidential material in advance of the examination, e.g. examination question paper, model answer or marking guidance
- Being in possession of materials not permitted in the examination room, e.g. notes, books, dictionaries/calculators (when prohibited), blank paper, mobile phones, smart watches. Possession of such materials will be considered to be malpractice whether or not the learner uses them, or the information contained within the materials is relevant to the examination being sat
- Communicating with other students in the examination room in breach of CQI examination regulations
- Copying the work of another student or knowingly allowing a student to copy from his/her own work.
- Working collaboratively with any other student(s) by whatever means during examinations
- Including inappropriate, offensive material in examination scripts
- Plagiarism or misrepresentation of learner’s work
- Failure to adhere to the published CQI examination regulations
- Failure to adhere to instructions given by an examination invigilator in relation to the examination regulations, e.g. continuing to work beyond the allotted examination time, refusing to hand in the examination script and/or examination paper when

- requested, not adhering to warnings relating to conduct during the examination
- Disruptive behavior (including offensive language and aggressive/violent conduct) in the training and examination venue
- Tampering with, or forgery of, results documentation, including certificates

## **5.0 Examples of malpractice by staff, tutors, invigilators, a branch or a subcontractor**

### ***BREACH OF SECURITY***

Any act which breaks the confidentiality of examination question papers or materials or the confidentiality of learners' examination scripts. This could involve:

- Failure to keep examination question papers, marking schemes or scripts secure before, during or after an examination
- Discussing or revealing in public (e.g. posting on social media channels) secure information relating to CQI and IRCA examinations
- Tampering with learners' examination scripts

### ***DECEPTION***

Any act of dishonesty in relation to any examination, such as:

- Inventing or changing examination marks when there is no evidence of learner achievement to justify the marks being given
- When marking examination scripts, not reporting suspected incidents of malpractice by a learner to IQCS
- Entering fictitious learners for examinations or otherwise subverting the assessment or certification process with the intention of financial gain

### ***IMPROPER ASSISTANCE TO LEARNERS***

- Knowingly allowing an individual to impersonate a learner
- Allowing a learner to possess and/or use materials not permitted in the examination room
- Allowing learners to communicate with each other during an examination in breach of CQI regulations
- Allowing a learner to copy another learner's work or allowing a learner to let his/her own work to be copied
- Allowing learners to work collaboratively during an examination
- Advising and/or assisting a learner with his/her examination answers
- Allowing a learner to work beyond the allotted examination time unless a time extension has been agreed in advance in accordance with CQI examination regulations
- Damaging a learner's work
- Disruptive behavior (including offensive language and aggressive/violent conduct) in the training and examination venue
- Leaving learners unsupervised during an examination
- Divulging any information relating to a learner's examination performance and/or result to anyone other than the learner him/herself.
- Tampering with, or forgery of, results files and/or associated documentation

***FAILURE TO CO-OPERATE WITH AN INVESTIGATION***

- Failure to make available information reasonably requested by the IQCS in the course of an investigation, or in deciding whether an investigation is necessary
- Failure to respond to an instruction from the IQCS to investigate an allegation or suspected case of malpractice or maladministration
- Failure to investigate or provide information according to agreed deadlines
- Failure to report all suspicions of malpractice

**6.0 Examples of maladministration by staff, tutors, invigilators, a branch or a subcontractor**

- Not using current examination papers, marking schemes and documentation
- Failure to train adequately those invigilating examinations
- Failure to ensure that examination venues conform with the IQCS's requirements
- Failure to standardize and moderate tutor marking (includes tutors working for branches and subcontractors)
- Failure to keep accurate learner records
- Failure to upload accurate learner data to the IQCS
- Failure to store and dispatch certificates securely and in a timely manner



# CQI Learner Privacy Notice

The following form of notice must be provided to learners by the ATP:

## Introduction

The Chartered Quality Institute (the CQI) has approved your training provider to deliver the certified course that you are attending.

During your course, your training provider will send us some information about you. This Privacy Notice explains what personal data will be collected and how the CQI will use your personal data.

Some of our courses require you to take an online exam. The CQI has partnered with ExcelSoft Technologies (referred to as ExcelSoft) to use their online assessment system (**SARAS**) and their remote proctoring service (**Easy Proctor**) to deliver your online exams. We have a legally binding contract with ExcelSoft which requires them to keep personal data confidential. ExcelSoft will only process personal data on CQI's behalf and in accordance with our instructions.

## Contact details

The CQI is subject to data protection laws, including the UK General Data Protection Regulation (**UK GDPR**). The UK GDPR gives you certain rights with respect to your personal data. Unless otherwise specified below, you can exercise any of your rights with respect to our processing of your personal data by sending an email to **privacy@quality.org** or by writing to us at: **Privacy Officer, Chartered Quality Institute, Third floor, 90 Chancery Lane, London WC2A 1EU**. Please be aware that we may need to verify your identity before we can service your request.

We have appointed IT Governance Europe Limited to act as our European Union (EU) representative for data protection purposes. If you are based in the EU and you wish to exercise your rights under the EU General Data Protection Regulation (**EU GDPR**), or have any queries in relation to your rights or general privacy matters under EU data protection law, please email our Representative at **eurep@itgovernance.eu**. Please include our company name in any correspondence you send to our Representative.

## Your data protection rights

You are entitled to:

- **Access** the personal data that we hold about you. This is commonly known as a 'data subject access request.' There is generally no charge for making a data subject access request.
- **Rectify** personal data we hold about you that is inaccurate.
- **Withdraw your consent** to us processing your personal data.

In certain circumstances you are also entitled to:

- Ask us to **delete** the personal data we hold about you. Please note that we may not be able to delete all personal data that we hold about you, for example, because of our duties to regulate the quality profession under our Royal Charter.



- **Object** to our processing your personal data, depending on the legal basis under which we are processing your data.
- Ask us to **restrict** our processing of your personal data. For example, you may ask us to do this if you dispute the accuracy of your personal data, if you want us to restrict how we can use your data rather than deleting it, or if you have objected to our processing and we are dealing with your objection.
- Ask us to **transfer** your personal data to another person or organisation.

You can make a request by writing to us at the addresses given above.

You also have rights in relation to any **automated decision making**. You have the right not to be subject to a decision based solely on automated processing, including profiling, which produces significant legal effects concerning you.

You can complain to the Information Commissioner's Office (**ICO**), the UK regulator for data protection:  
<https://ico.org.uk/global/contact-us/>

### What types of personal data will be collected?

The CQI will collect the following personal data:

- Your first and last names
- Your email address
- The training provider you are registered with
- The course you are registered to take
- Start and end dates of your course
- Name of your tutor(s)
- Delivery method for your course
- Country where you are located
- Any request for a reasonable adjustment (CQI and IRCA online exam only)
- Your CQI Unique Learner number if you already have one
- Confirmation that you have given consent to your training provider for your data to be processed by the CQI and shared with ExcelSoft in accordance with CQI's Privacy Notice (CQI and IRCA online exam only)
- A photo of your face and a photo of your national government approved photo identification (CQI and IRCA online exam only)
- Video and audio recording of you and recording of your computer/laptop screen, taken during the exam (CQI and IRCA online exam only)
- Date of your exam (CQI and IRCA online exam only)
- Language of your exam (CQI and IRCA online exam only)
- Your proctoring result (CQI and IRCA online exam only)

- Your exam marks
- Your overall exam result
- Any request for special consideration (CQI and IRCA online exam only)
- Any appeal submission (CQI and IRCA online exam only)

### **How will my personal data be collected and why does CQI need it?**

Your training provider will collect data relating to your name, email address, location, course details and assessment result (for courses that do not have an online exam). They will also collect data relating to learner requests for reasonable adjustments for courses with CQI and IRCA online exams. This data will be shared with the CQI.

The CQI will assign you a Unique Learner Number (ULN) which we will share with your training provider. We will retain your name, course details, exam result and your ULN in perpetuity, so that we can verify, upon request, that you completed the course for which you have registered.

We will also use the data to assess your provider and the quality of the training and assessment you received. We will use your name, email address and course information to send you a personalised email following the conclusion of your course, in which we ask you to give us feedback on your experience with the course, your tutor and the training provider. We will also ask you whether you are interested in receiving additional information from us about the quality profession, the CQI and IRCA, and our products and services.

*In addition to the above, for learners taking a CQI and IRCA online exam:*

The CQI will generate an assessment code for each learner taking an online exam. Your name, email address, ULN, assessment code and any reasonable adjustment request for extra time (if required) will be shared with ExcelSoft so that a username, passwords, and schedules for your practice questions and online exam can be generated and sent to you via email.

When you log onto SARAS to take your exam, you will be asked to take a photo of your face and a photo of your national government approved photo identification. This is to enable CQI to verify the identity of the person taking the exam. You will then be connected to ExcelSoft's remote proctoring tool Easy Proctor. Easy Proctor will video and audio record you for the duration of the exam, using the webcam and audio facility on your pc or laptop. It will also record the image displayed on the pc/laptop you are using for the exam. This data is collected to ensure that you are complying with CQI's online exam regulations.

At the end of the exam, you will be asked to complete a survey about your course and exam so that CQI can identify any areas for improvement.

Easy Proctor will use artificial intelligence to analyse your exam video recording and will compare the photo of your face with the image of your photo identification and the video recording of the person taking the exam. The system will produce a proctoring report, which will highlight any anomalies and potential breaches of CQI's online exam rules. The report will be reviewed by the CQI to:

- Verify the person taking the exam is the same person who is registered for the exam.

- Confirm whether any anomalies flagged by Easy Proctor could amount to malpractice or could have adversely affected the learner's exam performance and result.

Once CQI has checked the proctoring report, your exam result, overall exam mark, exam marks by domain, date of exam and exam language will be sent from SARAS to CQI. Your trainer provider will download this data from CQI's portal and inform you of your exam result. CQI will use the data to monitor trends in exam performance across courses, training providers, tutors, and different languages, and to undertake quality improvement activities where necessary.

### **How will you store my personal data?**

The CQI will store your name, email address, ULN, course and exam information on our cloud-based server within the UK. We will retain this data in perpetuity, so that we can verify, upon request, that you completed the course for which you have registered.

ExcelSoft operates SARAS and Easy Proctor from cloud-based servers in the UK. All personal data processed by ExcelSoft will be stored securely for 90 days to allow any queries or appeals to be dealt with. ExcelSoft will delete this personal data after 90 days unless otherwise requested by CQI.

CQI will only ask ExcelSoft to retain your personal data for a longer period than stated in this Privacy Notice if we need it to deal with a complaint or appeal, or if we reasonably believe there is a prospect of a legal claim connected to your personal data.

### **Queries**

If you have any questions about this Privacy Notice or about how we use your personal data, please contact us by email at: **privacy@quality.org** or by post to: **Privacy Officer, Chartered Quality Institute, Third floor, 90 Chancery Lane, London WC2A 1EU.**