**SUSTAINABILITY MANAGEMENT STANDARDS AND AUDITING SPRING 2021
ENBUS 308**

Published May 17, 2021

**CLASS SCHEDULE**

| **Section** | **Location** | **Time** | **Instructor(s)** |
| --- | --- | --- | --- |
| **ENBUS 308** 041 | None | Wednesdays2 p.m. - 3:50 p.m. | Steven Youngs4young@uwaterloo.ca |

**INSTRUCTOR / TA INFORMATION**

Prof. Steven B. Young

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**COURSE DESCRIPTION**

*ENBUS 308*

Standards and auditing approaches used for sustainability management are examined. Public standards, like those from the International Organization for Standardization, are contrasted with private standards, developed by specific industries for product transparency and accountability in supply-chains. Auditing practice, as defined by the ISO 19011 standard, is examined including principles, steps, reporting and important concepts. Examples of performance standards and management system standards are explored, covering industrial, social and environmental issues. Lectures may be supplemented by required field trip(s) and/or field work.

Prereq: ENBUS 202, 204

Refer to the course website on LEARN and the Microsoft Teams group for the course.

**LEARNING OUTCOMES**

**By the end of this course students should be able to:**

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| --- |
| Perform a basic sustainability audit |
| Articulate attributes and structures of voluntary sustainability standards |
| Appraise a sustainability audit statement |
| Critically assess outcomes and successes of sustainability standards programs |
| Articulate alternatives to sustainability auditing |
| Demonstrate literacy and basic numeracy in environment and business contexts |

**TENTATIVE COURSE SCHEDULE**

**IMPORTANT: ALL TIMES EASTERN** - Please see the University Policies section for details.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Week** | **Wednesday** | **Topic** | **Quiz** | **Assignments** |
| 1 | May 12 | Introduction to practice and programs |   |   |
| 2 | May 19 | Greenhouse gas standards | Q1 (due May 25) |   |
| 3 | May 26 | Professional conduct, ethics & principles |   |  A1 – Waterloo's GHGs (due Jun 1) |
| 4 | Jun 2 | Audit steps | Q2 (due Jun 8) |   |
| 5 | Jun 9 | Audit steps (cont.) |   |   |
| 6 | Jun 16 | Voluntary sustainability standards | Q3 (due Jun 22) | A2 – Corporate reporting (due Jun 22) |
| 7 | Jun 23 | Auditor qualifications |   |   |
| 8 | Jun 30 | BREAK - NO CLASS |   |   |
| 9 | Jul 7 | Sustainability standards outcomes | Q4 (due Jul 13) | A3 – select a VSS (due Jul 13) |
| 10 | Jul 14 | GUEST (tentative) |   |   |
| 11 | Jul 21 | Challenges to programs |   |   |
| 12 | Jul 28 | Alternatives and future of auditing | Q5 (due Aug 3) | A4 – VSS analysis (due Aug 3) |
|   | Aug 7-16 | Examination scheduled by Registrar |   | Final exam |

**WEEKLY SCHEDULE**

Most weeks will proceed roughly as follows

* Tuesday 11:59 pm – assessments due
	+ Quizzes, ~biweekly
	+ Assignments (four over term)
* Wednesday
	+ 1-2 pm synchronous lecture – recorded on Teams
	+ 2-3 pm synchronous seminar
* Thursday
	+ 9-10 am (tentative) alternate synchronous seminar, to be arranged if needed

Note there is a break (no class) on June 30, ahead of Canada Day.

**TEXTS / MATERIALS**

| **Title / Name** | **Notes / Comments** | **Required** |
| --- | --- | --- |
| ISO 19011:2018. Guidelines for auditing management systems. Geneva: International Organisation for Standardisation. Available from ISO at <https://www.iso.org/obp/ui/#iso:std:iso:19011:ed-3:v1:en> | Required - access the standard through the library as British Standard. | Yes |
| John Brady, Alison Ebbage, Ruth Lunn (2011). Environmental Management in Organizations. Second edition. Earthscan | Textbook. Chap. 4.3. Available in library reserves | Yes |
| ISO. (2010). International standards and “private standards” Geneva: International Organization for Standardization. February 2010/1 500. ISBN 978-92-67-10518-5. | Available on LEARN | Yes |
| University of Waterloo. 2020 Environmental Sustainability Report. Available at <https://uwaterloo.ca/sustainability/> | Download the report. Also review the supplemental data on climate, available in a webpage at <https://uwaterloo.ca/sustainability/about/reporting/climate-and-energy-data> | Yes |
| ITC (2020). The State of Sustainable Markets 2020: Statistics and Emerging Trends <https://www.intracen.org/publication/Sustainable-Markets-2020/> | Read up to an including the executive summary | Yes |
| James Sullivan, May 8, 2018. “Who Does What? - An Assurance Ecosystem”. <https://www.certificationkitbag.com/blog/2018/5/3/an-assurance-ecosystem> | Blog online. | Yes |
| James Sullivan, May 30, 2018. “Accreditation - What Is It & Why Bother?” <https://www.certificationkitbag.com/blog/2014/12/3/accrediation-why-bother> | Blog online. | Yes |
| Samanth Subramanian (Jul 23, 2019). Is fair trade finished? The Guardian. Available at <https://www.theguardian.com/business/2019/jul/23/fairtrade-ethical-certification-supermarkets-sainsburys> | News article online | Yes |
| Castka, P., Searcy, C., & Mohr, J. (2020). Technology-enhanced auditing: Improving veracity and timeliness in social and environmental audits of supply chains. Journal of Cleaner Production, 120773. <https://doi.org/10.1016/j.jclepro.2020.120773> | Article. Available in library reserves | Yes |
| Kemp, D., Owen, J. R., & van de Graaff, S. (2012). Corporate social responsibility, mining and “audit culture.” Journal of Cleaner Production, 24, 1-10. <https://doi.org/10.1016/j.jclepro.2011.11.002> | Article. Available in library reserves | Yes |
| WRI/WBCSD (2004). Greenhouse Gas Protocol Corporate Standard. Revised edition. Access PDF at <https://ghgprotocol.org/corporate-standard> | Standard. Recommended | No |
| ISO/IEC 17011:2017. Conformity assessment -- Requirements for accreditation bodies accrediting conformity assessment bodies. Available from library or preview here <https://www.iso.org/standard/67198.html> | Standard. | No |
| Auld, G., Bernstein, S., & Cashore, B. (2008). The New Corporate Social Responsibility. Annual Review of Environment and Resources, 33(1), 413–435. doi:10.1146/annurev.environ.32.053006.141106 | Article. Available in library reserves | No |
| ISO 14001:2015. Environmental management systems — Requirements with guidance for use. Geneva: International Organisation for Standardisation. | From ENBUS 202. | No |

ISO standards are available through the Waterloo library. Go to the reference shelf ([https://uwaterloo.ca/library/online-reference-shelf)](https://uwaterloo.ca/library/online-reference-shelf)and look for Standards/Codes and access TechStreet. The CAN/CSA-ISO 14001:16 is a 35-page document is required reading. Get the right document – note "requirements" document.

ISO standards are also available at a price in English and in other languages at www.iso.org and other places. The preview at www.iso.org nicely provides the first three sections of each document free-of-charge.

Other readings, web content, videos, etc. will be posted on LEARN.

**STUDENT ASSESSMENT**

| **Component** | **Value** |
| --- | --- |
| Quizzes -- 5 quizzes on LEARN, lowest graded quiz will not be counted in the LEARN gradebook | 15% |
| Assignments -- Submitted to CrowdMark |  |
| Assignment A1 - Waterloo's GHGs | 12% |
| Assignment A2 - Corporate reporting | 12% |
| Assignment A3 - Select a voluntary sustainability standard | 3% |
| Assignment A4 - Analysis of a voluntary sustainability standard program | 18% |
| Final exam | 40% |

CrowdMark will be employed for assignments. Crowdmark provides secure online submissions, and allows detailed marking and feedback, and will provide quick return of assignments. In each case, you will receive an email with a private link to the Crowdmark website asking you to submit your assignment. Crowdmark is designed for page-at-a-time grading: you upload your answers in PDF or another format, drag each answer page to the corresponding question, then submit. UWaterloo supports this software at <https://uwaterloo.ca/crowdmark/>

**ASSIGNMENT SCREENING**

Text matching software (Turnitin) may be used to screen assignments in this course submitted via the LEARN dropbox. This is being done to verify that use of all material and sources in assignments is documented. In the first week of the term, details will be provided about the arrangements for the use of Turnitin and alternatives in this course. See Administrative Policy below for more information and links.

**ADMINISTRATIVE POLICY**

**Submissions**are due at **11:59 pm** on the due date.

**Extensions:**There is a “*No-Excuses-Needed Extension Policy*” for assignments. Each assignment has a Regular Due Date and an Extended Due Date, exactly one week apart. You don't need to ask for an extension, you can just take it. However, there is no extension beyond the extended deadline.

**Remarks:**  Requests for remarking will be accepted up to one (1) week following return of the assessment. Submit your request directly to the professor, using your uWaterloo email with the word “remark” and the name of the course in the subject line (e.g., "Remark request assignment A2 for ENBUS 308"). Provide an explanation describing in detail your request and attach a complete copy of the assignment including all comments, grading and feedback. The professor will remark the contested work, possibly including other areas of the assessment, and the mark may increase or decrease.

**Academic integrity**: In order to maintain a culture of academic integrity, members of the University of Waterloo community are expected to promote honesty, trust, fairness, respect and responsibility. [Check [the Office of Academic Integrity](https://uwaterloo.ca/academic-integrity/) for more information.]

**Grievance:**A student who believes that a decision affecting some aspect of his/her university life has been unfair or unreasonable may have grounds for initiating a grievance. Read [Policy 70, Student Petitions and Grievances, Section 4](https://uwaterloo.ca/secretariat-general-counsel/node/100). When in doubt, please be certain to contact the department’s administrative assistant who will provide further assistance.

**Discipline:**A student is expected to know what constitutes academic integrity to avoid committing an academic offence, and to take responsibility for his/her actions. [Check [the Office of Academic Integrity](https://uwaterloo.ca/academic-integrity/) for more information.] A student who is unsure whether an action constitutes an offence, or who needs help in learning how to avoid offences (e.g., plagiarism, cheating) or about “rules” for group work/collaboration should seek guidance from the course instructor, academic advisor, or the undergraduate associate dean. For information on categories of offences and types of penalties, students should refer to [Policy 71, Student Discipline](https://uwaterloo.ca/secretariat-general-counsel/node/97). For typical penalties, check [Guidelines for the Assessment of Penalties](https://uwaterloo.ca/secretariat-general-counsel/node/131).

**Appeals:**A decision made or penalty imposed under [Policy 70, Student Petitions and Grievances](https://uwaterloo.ca/secretariat-general-counsel/node/100) (other than a petition) or [Policy 71, Student Discipline](https://uwaterloo.ca/secretariat-general-counsel/node/97) may be appealed if there is a ground. A student who believes he/she has a ground for an appeal should refer to [Policy 72, Student Appeals](https://uwaterloo.ca/secretariat-general-counsel/node/99).

**Note for students with disabilities:**[AccessAbility Services](https://uwaterloo.ca/disability-services/), located in Needles Hall, Room 1401, collaborates with all academic departments to arrange appropriate accommodations for students with disabilities without compromising the academic integrity of the curriculum. If you require academic accommodations to lessen the impact of your disability, please register with AccessAbility Services at the beginning of each academic term.

**Turnitin.com:**Text matching software (Turnitin®) may be used to screen assignments in this course. Turnitin® is used to verify that all materials and sources in assignments are documented. Students' submissions are stored on a U.S. server, therefore students must be given an alternative (e.g., scaffolded assignment or annotated bibliography), if they are concerned about their privacy and/or security. Students will be given due notice, in the first week of the term and/or at the time assignment details are provided, about arrangements and alternatives for the use of Turnitin in this course.

It is the responsibility of the student to notify the instructor if they, in the first week of term or at the time assignment details are provided, wish to submit alternate assignment.