

## **EMS Example**

### **Example EMS Audit Procedure**

EMS Audit Procedures must be developed and documented with goals which:

- Ensure that the procedures incorporated into the EMS are being followed;
- Determine if the EMS itself requires revision or restructuring.

The documented Audit Procedures must address the following:

- The frequency of auditing;
- What information will be gathered;
- Who will perform the audits;
- How the audit results will be recorded and communicated.

The EMS internal audit procedure should include or provide for the following:

- Review of the monitoring and measurement to determine, among other things, that objectives and targets are being met;
- Discussions with personnel to determine if they know and follow EMS procedures;
- Review of regulatory compliance auditing procedure to ensure that it is assessing the status of regulatory compliance, identifying corrective and preventive actions and that those actions are being completed.

The EMS audit is not intended to be a compliance audit, but is intended to evaluate whether your compliance-auditing procedure is working, and identify ways the compliance auditing procedure may be improved.

The outputs from the audit go into two separate processes: Management Review and Corrective and Preventive Action. Since ISO 14001 certification is a potential goal, prior to the certification audit, the audit procedures must not only be developed, but have actually been used through an internal EMS audit process. In general, it is recommended that at least one individual from the municipality attend ISO 14001 Lead Auditor training to ensure sufficient knowledge to properly implement an EMS audit.

## Example EMS Audit Procedure

### I. Purpose

The purpose is to define the process for conducting periodic audits of the EMS. The procedure defines the process for scheduling, conducting, and reporting of EMS audits.

### II. Scope

This procedure applies to all internal EMS audits conducted at the site. The scope of EMS audits may cover all activities and processes comprising the EMS or selected elements.

### III. General

Internal EMS audits help to ensure the proper implementation and maintenance of the EMS by verifying that activities conform to documented procedures and that corrective actions are undertaken and are effective.

Trained auditors conduct all audits. Auditor training is defined by Procedure #. Records of auditor training are maintained in accordance with Procedure #.

When a candidate for EMS auditor is assigned to an audit team, the Lead Auditor will prepare an evaluation of the candidate auditor's performance following the audit.

The ISO Management Representative is responsible for maintaining EMS audit records, including list of trained auditors, auditor training records, schedules and protocols, and reports.

EMS audits are scheduled to ensure that all EMS elements and plant functions are audited at least once each year.

The ISO Management Representative is responsible for notifying EMS auditors of any upcoming audits a reasonable time prior to the scheduled audit date. Plant areas and functions subject to the EMS audit will also be notified a reasonable time prior to the audit.

The Lead Auditor is responsible for ensuring that the audit, audit report and any feedback to the plant areas or functions covered by the audit is completed per the audit schedule.

The ISO Management Representative, in conjunction with the Lead Auditor, is responsible for ensuring that Corrective Action Notices are prepared for audit findings, as appropriate.

### IV. Procedure

**Audit Team Selection** - One or more auditors comprise an audit team. When the team consists of more than one auditor, a Lead Auditor will be designated. The Lead Auditor is responsible for audit team orientation, coordinating the audit process, and the preparation of the report.

**Audit Team Orientation** - The Lead Auditor will assure that the team is adequately prepared to initiate the audit. Pertinent policies, procedures, standards, regulatory requirements and prior audit reports are made available for review by the audit team. Each auditor will have appropriate audit training, as defined by Procedure #.

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Written Audit Plan - The Lead Auditor is responsible for ensuring the preparation of a written plan for the audit. The Internal EMS Audit Checklist may be used as a guide for this plan.

Prior Notification - The plant areas and / or functions to be audited are to be notified a reasonable time prior to the audit.

### Conducting the Audit

1. A pre-audit conference is held with appropriate personnel to review the scope, plan and schedule for the audit.
2. Auditors are at liberty to modify the audit scope and plan if conditions warrant.
3. Objective evidence is examined to verify conformance to EMS requirements, including operating procedures. All audit findings must be documented.
4. Specific attention is given to corrective actions for audit findings from previous audits.
5. A post-audit conference is held to present audit findings, clarify any misunderstandings, and summarize the audit results.

### F. Reporting Audit Results

1. The Team Leader prepares the audit report, which summarizes the audit scope, identifies the audit team, describes sources of evidence used, and summarizes the audit results.
2. Findings requiring corrective action are entered into the corrective action database.

### G. Audit Report Distribution

1. The ISO Management Representative is responsible for communicating the audit results to responsible area and / or functional management. Copies of the audit report are made available by the ISO Management Representative.
2. The ISO Management Representative is responsible for ensuring availability of audit reports for purposes of the annual Management review (see Procedure #).

### H. Audit Follow-up

1. Management in the affected areas and / or functions is responsible for any follow-up actions needed as a result of the audit.
2. The ISO Management Representative is responsible for tracking the completion and effectiveness of corrective actions.

### I. Record keeping

1. Audit reports are retained for at least two years from the date of audit completion. The ISO Management Representative is responsible for maintaining such records.

### Example EMS Audit Plan

Name: \_\_\_\_\_

Date: \_\_\_\_\_

Controlled Document

Control Number: \_\_\_\_\_

Area or Department Audited	Function or Operation	Lead Auditor	Audit Team Members	Date	Special Instructions

## Example EMS Audit Summary Sheet

Municipality: \_\_\_\_\_

Facility: \_\_\_\_\_

Lead Auditor: \_\_\_\_\_

Date: \_\_\_\_\_

Element Number and Description		Audit Results	
		No. of Majors/ Minors	A, N, X*
4.2	Environmental Policy		
4.3	<b><i>Planning</i></b>		
4.3.1	Environmental Aspects		
4.3.2	Legal and Other Requirements		
4.3.3	Objectives and Targets		
4.3.4	Environmental Management Program(s)		
4.4	<b><i>Implementation and Operation</i></b>		
4.4.1	Structure and Responsibility		
4.4.2	Training, Awareness, and Competence		
4.4.3	Communication		
4.4.4	EMS Documentation		
4.4.5	Document Control		
4.4.6	Operational Control		
4.4.7	Emergency Preparedness and Response		
4.5	<b><i>Checking and Corrective Action</i></b>		
4.5.1	Monitoring and Measurement		
4.5.2	Corrective and Preventive Action		
4.5.3	Records		
4.5.4	EMS Audit		
4.6	Management Review		
<b>TOTAL</b>			

### Legend:

**A = Acceptable:** Interviews and other objective evidence indicate that the EMS meets all the requirements.

**N = Not Acceptable:** The auditor has made the judgment that, based on the number and type of nonconformances, the requirements of that the section of the standard are not being met.

**X = Not Audited**

### Example EMS Audit Findings Form

<b>Type of Finding (circle one):</b>		
Nonconformance: <b>Major</b> <b>Minor</b> <b>Positive Practice</b> <b>Recommendation</b>		
<b>Description (include where in the organization the finding was identified):</b>		
<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>		
<b>ISO 14001 Reference:</b> <hr/>	<b>Date:</b> <hr/>	<b>Finding Number:</b> <hr/>
<b>Auditor:</b> _____	<b>Auditee's Rep.:</b> _____	
<b>Corrective Action Plan (including time frames):</b>		
<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>		
<b>Preventive Action Taken:</b>		
<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>		
<b>Individual Responsible for Completion of the Corrective Action:</b> <hr/>	<b>Date Corrective Action Completed:</b> <hr/>	
<b>Corrective Action Verified By:</b> <hr/>		
		<b>Date:</b> _____

## Example EMS Audit Questions (by organizational function)

### Function: Senior Management

<b>4.2 Environmental Policy</b>	
<b>Senior Management</b>	<b>Objective Evidence</b>
a. Describe your role in the development of the environmental policy.	
b. How do you know that your policy is appropriate for your activities?	
c. What is management's role in the review and revision of the policy?	
d. How does management ensure continued adherence to the policy?	
e. How does the policy help guide organizational decisions?	
f. How are employees made aware of the environmental policy?	
g. How is the environmental policy made available to the public?	
<b>4.3.3 Objectives and targets</b>	
<b>Senior Management</b>	<b>Objective Evidence</b>
a. What are the environmental objectives and targets for your organization?	
b. How are the environmental objectives linked to other organizational goals?	
c. Are objectives/targets consistent with the environmental policy and prevention of pollution and continual improvement?	
d. How were the objectives and targets communicated to management?	
e. How often are you informed of the status of the objectives and targets?	
f. On what basis are the objectives and targets reviewed and modified?	
<b>4.4.1 Structure and responsibility</b>	
<b>Top Management</b>	<b>Objective Evidence</b>
a. At what level within the organization is the	

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designated EMS representative placed?	
b. What authority does the EMS representative have to carry out duties?	
c. How are environmental management resource needs assessed?	
d. What resources (financial, technical personnel) has management provided to develop or maintain the EMS?	
e. Are you informed on EMS performance? Do you receive routine reports?	
f. Are responsibilities for EMS documented? Is an integrated structure in place in which accountability and responsibility are defined, understood, carried out?	
g. How are these responsibilities communicated to all employees?	
<b>4.4.3 Communication</b>	
<b>Top Management</b>	<b>Objective Evidence</b>
a. How are you informed of the environmental issues within your organization? How often does this take place? Does this include compliance?	
b. How are you kept up to date with progress on environmental objectives and targets?	
d. How does the organization handle environmental inquiries?	
<b>4.6 Management review</b>	
<b>Top Management</b>	<b>Objective Evidence</b>
a. What is the management review process?	
b. How often are management reviews performed? How was this determined?	
c. Who is involved in the management review process? What are their roles?	
d. What changes have been made to the EMS as a result of the last review?	

Notes: