

SWWTD ENVIRONMENTAL MANAGEMENT SYSTEM



**Name: Internal Environmental Audit Procedure
EMS 2002- 20.16**

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Approved By: John E. Rhom, Plant Operations
Superintendent

Signature:

Revision #: 1

Revision Date: 06/17/2002

Effective Date: 06/17/2002

PAGE 1 of 4

1.0 Purpose

This procedure is to continuously improve the environmental management and control systems in order to minimize impacts to the environment.

2.0 Scope

2.1 ISO 14001, sub clause 4.5.4 requires internal audits to be performed on a periodic basis to determine conformance with the Utilities environmental policy and compliance with environmental regulations.

2.2 This procedure applies to environmental audits of the Utilities department.

3.0 Responsibility and Authority

- 3.1 It is the responsibility of the EMS Coordinator to ensure internal audits are scheduled and conducted at least annually and that audit results are promptly reported to the department supervisor and to the Plant Operations Superintendent.
- 3.2 It is the responsibility of the EMS Coordinator to follow up on audit findings and to prepare audit reports of internal audits for Management Review.
- 3.3 The department supervisors have the responsibility to cooperate in scheduling, attending EMS audit meetings, and to correct audit findings within a reasonable time frame or provide documentation as to why an EMS audit correction is not necessary.
- 3.4 It is the responsibility of the Utilities staff to cooperate fully during EMS audits, understanding they are the drivers for the continual improvement of the environmental management system.
- 3.5 It is the responsibility of Management Representative to review EMS audit reports at regular intervals as defined within the EMS Management Review Procedure and to require effective and prompt response(s) from department supervisors to any adverse audit findings.

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EMS 2002- 20.16

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PAGE 2 of 4

4.0 Procedure

4.1 Initial Contact

The EMS Coordinator will develop an internal EMS audit schedule each year and publish at least one month prior to the first scheduled audit.

4.2 Audit Plan and Purpose

The EMS Coordinator will schedule the EMS audit date with the site and will work with the Department Supervisor(s) to accommodate operation needs. The EMS audit plan is to take into account previous EMS audit results, when available, and any identified environmental impacts that may have preceded the EMS audit.

First Quarter:	Environmental Policy Aspects and Impacts Legal and Other Requirements Objectives and Targets	AUGUST 2002
Second Quarter:	Roles and Responsibilities Training, Awareness, and Competence Communication Document Control	NOVEMBER 2002
Third Quarter:	Operational Control Maintenance Emergency Response Monitoring and Measuring	FEBRUARY 2003
Fourth Quarter:	Corrective/Preventive Action Records Environmental Audit Management Review	MAY 2003

4.3 Appointed EMS auditors will be notified at least one month prior to the scheduled date of the audit. The information to be provided to them includes the names of key staff in the functional areas being audited, the area to be audited, details of the activities and/or EMS procedures to be reviewed, outstanding EMS audit findings, if any, and summary reports of any immediate past EMS audits.

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PAGE 3 of 4

- 4.4 Pre-EMS Audit Conference
The EMS Coordinator is to contact the Department Supervisor(s) of the site being audited and make appropriate arrangements for the timing of the EMS audit, including opening and closing meetings.
- A pre-audit conference, discussing the audit plan and objectives, will be conducted the day of the EMS audit. All questions posed by staff of the site being audited should be adequately addressed at this conference.
- 4.5 Review of the EMS Audit Checklist
The audit checklist or questionnaire should be reviewed at the pre-audit conference.
- 4.6 Site Inspection
The EMS auditors will walk the site and record observations in a factual way based upon EMS criteria. EMS findings will be recorded on approved EMS forms, such as the EMS Audit Nonconformance/Observation Report (NOR) form. Review of records may take place before, during, or after the site inspection. Staff may be questioned (within audit scope guidelines) during the site inspection.
- 4.7 Post-EMS Audit Conference
A post audit conference will be held to discuss initial findings. EMS findings will be discussed and reported to the department at this time. Provisional agreements outlining corrective actions may be reached at this time or appeals to findings discussed. Appeals not resolved, will be submitted in writing to the auditor and executive management, and included in the audit report.
- 4.8 Audit Report
EMS Coordinator will issue an EMS audit report within 10 working days to the department. From the date of the receipt of the EMS Audit Report, the department will have 10 working days to review and comment on the EMS
- 4.9 The Management Review meeting will be held after the lead auditor and auditee have completed this process.
- 4.10 Data Entry
Entry of EMS audit findings into a database will be done along with corrective action plans if developed. The finding will be referenced to a specific EMS identification number, or a specific code, or regulation

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PAGE 4 of 4

4.11 Follow Up

A corrective action reminder will be transmitted to the Department Supervisor if the site has not responded with a corrective action or correction plan.

Follow up surveillance will be conducted upon notification of corrective action or upon completion dates within the action plan schedule. Finding Closure will occur immediately upon auditor verification of corrective action.

5.0 Related Documentation

- 5.1 ISO 14001 Standard
- 5.2 Policy Statement (EMS2002.10.1)
- 5.3 Department Procedures and Records

6.0 Records

- 6.0 EMS Audit Plan
- 6.1 EMS Audit Report
- 6.2 EMS Training Records for Individual EMS Auditors
- 6.3 EMS Nonconformance/Observation Report (NOR)

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EMS NONCONFORMANCE/OBSERVATION REPORT (NOR)	FINDING (Check One) <input type="checkbox"/> Major Nonconformance <input type="checkbox"/> Minor Nonconformance <input type="checkbox"/> Observation
Purpose: This form is used to report nonconformances and observations identified during EMS internal audits. Type or print clearly. Complete one form for each nonconformance or observation.	
Section A. AUDIT IDENTIFICATION AND SCOPE	
1. Auditor:	2. EMS Audit Number/Date:
3. ISO 14001 Requirement (Include sub clause no.):	4. Auditor NOR Number:
5. Auditor(s)	Auditor Signature:
Section B. DESCRIPTION OF FINDINGS AND CORRECTIVE MEASURES - The auditor shall describe all of the facts surrounding the nonconformance or reportable observation. Each nonconformance must be addressed with a corrective action. Observations shall be reported and revisited during the next audit.	
1. Details of Finding:	
2. Proposed Method of Correction:	
SECTION C. VERIFICATION/CLOSURE - Upon completion of the NOR, the auditor shall sign the form and obtain a signature of acceptance from the department head or individual responsible for the area.	
1. Auditor Signature/Date:	2. Projected Corrective Action Completion Date: (To be mutually agreed upon by the auditor and auditee.)
3. Actual Completion Date of Corrective Action:	4. NOR Received by EMS Manager (Signature/Date)
5. Corrective Action Verification and Acceptance (Signature/Date): (To be completed by the EMS Coordinator upon closure.)	
6. Comments:	

EMS Form # EMS 2002-20.16A

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