1.0   Procedure:

1.1   An overall audit program will be developed. The audit program shall cover the following points:

♦   The specific areas, functions, procedures, and activities to be audited
♦   Personnel qualified to perform the audits
♦   Audit schedule and frequency
♦   Audit processes and techniques
♦   Method of recording and reporting audit findings
♦   Development and implementation of corrective action to resolve cited audit discrepancies

1.2   **Audit Schedule and Frequency**

1.2.1   An audit schedule will be developed and conveyed to the audit team via an audit plan prepared by the Audit Team Leader. The audit frequency shall be based on the status and importance of the system elements defined in the system manual, as determined by:

♦   Significant Aspects or risks and hazards
♦   Concerns raised by interested parties
♦   Results of third party and internal audits
♦   Concerns raised by the employees
♦   Concerns raised during Management Reviews
♦   All applicable system elements shall be audited a minimum of once annually.

1.2.2   Audit frequency and scheduling shall include auditing all areas of the site against all elements of ISO 14001. Audit frequency and scope for the various areas of the site will be determined by the Audit Team Leader and communicated to the audit team.

1.3   **Audit Team Make-Up and Qualifications**

1.3.1   System audits shall be performed by the Audit Team Leader along with a team of trained and qualified personnel from various departments as selected by the Audit Team Leader. To assure appropriate qualifications, the audit team may include personnel from various departments. To assure objectivity, the audit team should include personnel not directly responsible for the area(s) being audited.

1.3.2   The audit team members will be formally trained in EMS or

SMS auditing as appropriate, or possess specific skills or knowledge of pertinent technical issues, regulations, management systems, and/or facility processes and products.

1.3.3 All personnel acting as auditors shall have received adequate training in the requirements of respective standard and internal auditing techniques prior to performing an audit. Auditor orientation/training shall include as a minimum, the following activities:

♦ A review of the relevant ISO standard and pertinent elements to be audited.

♦ Defining of the auditor(s) role, responsibilities and auditing techniques.

♦Determining the scope of the audit and review of relevant documents/procedures.

♦ The method of documenting the audit and non-compliance's.

1.3.4 Training may be accomplished through either:

♦ The successful completion of an internal auditing course by a recognized third party.

♦ Internal auditor training provided by personnel who have successfully completed an internal auditor-training course.

1.4   Audit Process

1.4.1 For each audit, an audit team leader will be identified and shall be responsible for:

♦ Assigning audit responsibilities to the team members
♦ Developing the audit plan
♦ Conducting audit team meetings
♦ Conducting opening and closing meetings with the auditee(s)
♦ Preparing the final audit report
♦ Communicating the findings of the audit to top management in association with the Management Review process.

1.4.2 The audit plan shall consist of requirements for the following elements:

♦ Audit Team Identification
♦ Pre-audit Review
♦ Opening Meeting

- ◆ Data Collection
- ◆ Data Review and Analysis
- ◆ Closing Meeting
- ◆ Reporting
- ◆ Audit Program Evaluation

6.4.3 Each of the sections of the EMS Manual shall be considered a system of elements. Auditors shall review a minimum of three randomly chosen sets of supporting records and other supporting documentation for conformance with the EMS Manual section. For example, if Management Reviews were being audited, a minimum of three samples of audit evidence would be examined for conformance to the Management Review Procedure. When the EMS Internal Audit is done at one time, it shall be done over a period of one week.

6.4.4 The audit team will collect data through the following means:
- ◆ Interviews
- ◆ Records review
- ◆ Physical inspection

6.4.5 The interviews should be conducted in the work area, if possible or appropriate, so that actual processes can be observed and any records or related data will be available for review. Information obtained from the interview as well as the records review and site inspection shall be documented. The records review will most typically be conducted before conducting interviews and physical inspections with follow-up reviews conducted following the findings of previous steps.

6.4.6 A physical inspection of the facility, process, or designated areas of the facility will be conducted and the observations and findings of the inspection documented.

6.4.7 Upon completion of the audit, the audit team will meet with relevant management and applicable department supervisors will be advised of audit results.

6.5 Audit Reporting

6.5.1 The Internal Audit Team shall issue completed Audit documents of the audit to the Audit Team Leader, who will prepare the audit report. The audit report will include:

- ♦ Introduction - what was covered (reference Audit Plan)
- ♦ Description of areas reviewed and related activities
- ♦ Assessment date(s)
- ♦ Audit team and areas of responsibility
- ♦ Individuals interviewed and their respective areas of responsibility
- ♦ Audit Findings

The final audit report shall be submitted to the Management Representative for appropriate action.