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# ISO 14001:2015

## Control of Internal Audits

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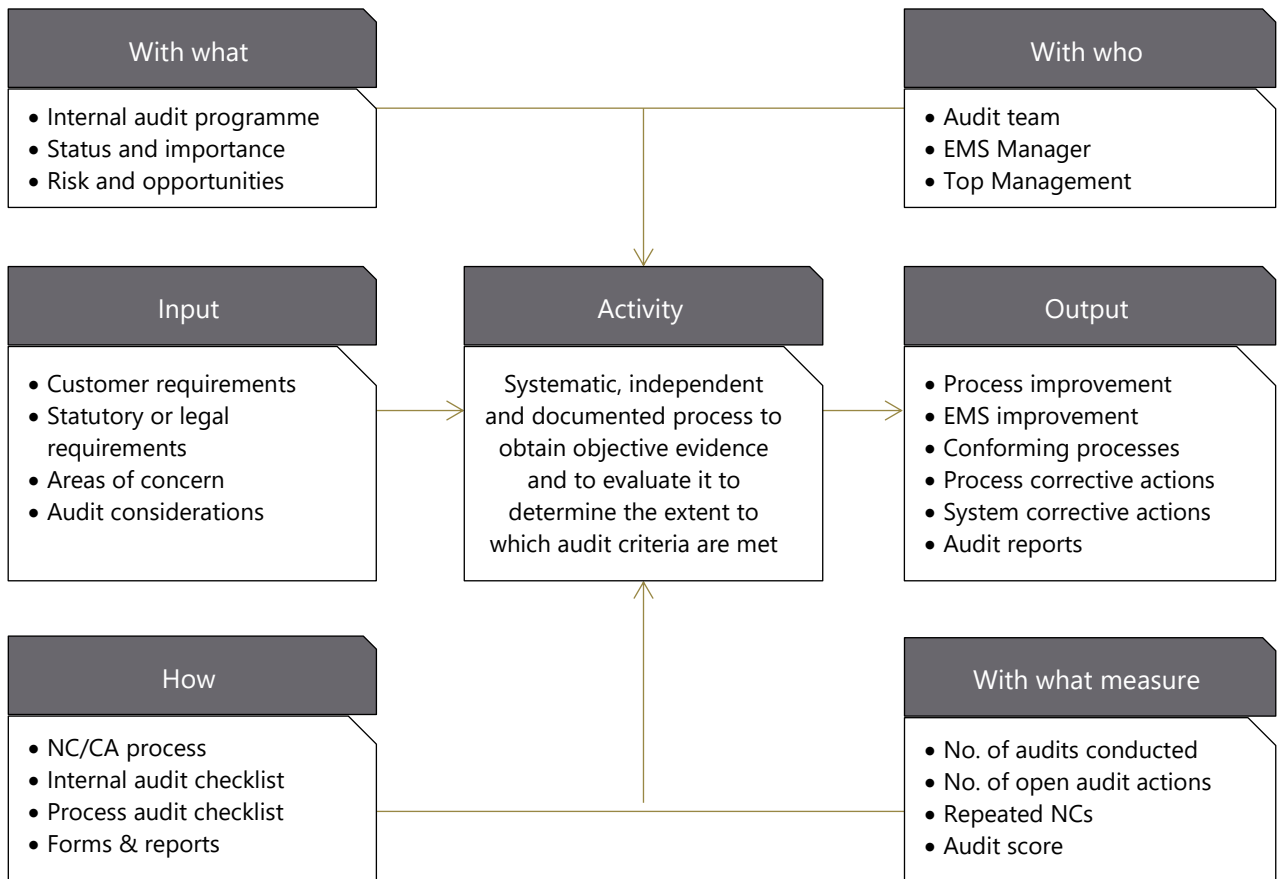
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# 1 Control of Internal Audits

## 1.1 Introduction & Purpose

The purpose of this procedure is to define **your organization's** process for undertaking EMS audits, process audits, and supplier and legislation audits in order to assess the effectiveness of the application of our environmental management system and its compliance to ISO 14001:2015. This procedure also defines the responsibilities for planning and conducting audits, reporting results and retaining associated records.

### 1.1.1 Process Activity Map



### 1.1.2 References

Standard	Title	Description
BS EN ISO 14001:2015	Environmental management systems	Requirements
BS EN ISO 14004:2016	Environmental management systems	Guidelines for implementation
BS EN ISO 19011:2011	Auditing management systems	Guidelines for auditing

### 1.1.3 Terms & Definitions

Term	Definition
Audit	A documented process for obtaining and evaluating evidence
Conformity	Fulfilment of a requirement
Corrective action	Action to eliminate the cause of a non-conformity and to prevent recurrence

audit, but all processes and areas are audited at least once per year. The frequency is determined using the Process Assessment worksheet in the Internal Audit Tracker. All internal and external non-conformances that are attributable to systems or process failures may result in the audit programme being updated to include additional audits in the area concerned.

Auditors audit areas other than their own but with which they will have some familiarity. Their responsibility for auditing areas rotated from year to year. The Internal Audit Programme is available on the network drive so that time can be scheduled in advance. The internal audit is conducted using the *ISO 14001-2015 Internal Audit Checklist*.

Before each audit activity the **Environment & Sustainability Manager** makes arrangements for those concerned to be notified in advance of the time of the audit by email. The audit team then reviews the process inputs and outputs using the Turtle Diagram at the front of this procedure in order to:

1. Identify the purpose of the process under investigation and determine what should be accomplished;
2. What are the Inputs into the process;
3. What are the expected outputs from the process;
4. What are the product and or services provided to the customer;
5. What are risks to the customer;
6. Identify the owner of the process;
7. Determine the objectives of the process;
8. What are the key performance indicators associated with the process;
9. Are there any customer specific requirements;
10. Determine how to obtain information which provides an indication of process performance.

The audit is documented using the Internal Audit Report which documents the performance of the process/procedure and the section of the EMS being audited, identifying all documentation used, and key indicators associated with the process. On completion of the audit the audit team enters the results of the internal audit into the Internal Audit Tracker.

### 1.5.2 Process Audits

Standard operating process audits of the manufacturing and product realization activities are planned by the **Environment & Sustainability Manager** on an annual basis in conjunction with the **Manufacturing and Production Managers**.

The audit team then reviews the process inputs and outputs using the Turtle Diagram at the front of this procedure. Audits are conducted on a **monthly/six-weekly/bi-annual** basis and cover all manufacturing areas over the year. Any non-conformity found during the audit is agreed with the **Manufacturing and Production Managers** resolution or containments actions are agreed.

### 1.5.3 Supplier Audits

2<sup>nd</sup> Party audits of our suppliers are planned by the **Environment & Sustainability Manager** in conjunction with the **Purchasing and Procurement Managers** and conducted to determine whether the Supplier's processes conform to the specified purchase controls and planned arrangements.

The audit team then reviews the process inputs and outputs using the Turtle Diagram at the front of this procedure.

### 1.5.4 Legislation Audits

At least once per year, audit is conducted on the scope and applicability of the register of applicable legislation in order to verify continued compliance. Using the register of legislation, the auditor determines the most significant legislation applicable to our organization at the time of the audit, by taking a sample and seeking objective evidence that the legislation is current and is being complied with.

Samples of legislation are noted and the register brought up to date as required. The samples taken are selected based on current risks but ensures that the whole register is audited at least once in each 3 year period.

### 1.6 Corrective Action

The corrective actions are identified on the *EMS Audit Tracker* along with the person responsible and the timescales for completion. The process or procedure is re-audited and the issue closed out when all corrective actions are completed. A member of the audit team will then sign off the audit report. An audit summary is prepared for management review.

### 1.7 Forms & Records

All documentation and records generated by the internal audit process are retained and managed in accordance with the Control of Documented Information procedure.

Title & Description
Audit Report
Audit Feedback Form
ISO 14001:2015 Internal Audit Checklists
EMS Audit Tracker