

EMS Internal Auditing Procedure

1. Scope

The scope of this operating procedure is limited to auditing EMS documentation systems. This includes the following:

- All components of the Environmental Management System;
- Legislation, regulations, guidelines and standards.

EMS Internal Auditing at the University of Queensland is conducted by two groups:

- School/Centre/Section EMS Internal Auditors
- Property and Facilities Internal Auditors conduct audits within Property and Facilities Division (refer to PF-A/W29.0 Management of Internal Audit).

2. Objectives

The University of Queensland Environmental Internal Auditing procedure aims:

- To assess the effectiveness of Environmental Management System at The University of Queensland;
- To identify opportunities for improvement.

3. Scheduling

The Environmental Coordinator, Property and Facilities Division, is responsible for developing and revising the EMS Internal Auditing Schedule for University Schools, Centres and Sections.

The Quality Coordinator, Property and Facilities Division, in conjunction with the Environmental Coordinator, is responsible for developing a schedule to internally audit all aspects of the EMS within Property and Facilities Division (refer to PF-A/W29.0 Management of Internal Audit).

4. Conducting Internal Audits

EMS Internal Auditors should follow the general rule of an auditor:

- assume nothing.
- be independent of the site being audited.
- be objective.

4.1 Conducting EMS Audits in University Schools and Centres

4.1.1 Planning the Audit

The Environmental Coordinator, Property and Facilities Division will:

- Contact and/or send notification to relevant Schools/Centres/Sections approximately four weeks prior to the audit being conducted.
- Set up an EMS Internal Audit planning session for EMS Internal Auditors, approximately four weeks prior to an audit.
- Liaise with EMS Internal Auditors to set up Audit teams (usually two people) and other details as required.
- Advise the EMS Audit Scope and School/Centre/Section contact details to EMS Internal Auditors. The scope should include:
 - environmental policy
 - environmental aspects / objectives and targets
 - environmental duty of care and reporting
 - training
 - relevant environmental procedures
 - previous audit findings.

University Internal Auditors will:

- **Attend an EMS Internal Audit planning session** to discuss scope, previous audit findings and details of audit.
- **Prepare for the Audit**
 - Develop an audit checklist on EMS Audit Form 1. Identify:
 - ▶ what needs to be confirmed.
 - ▶ how those items will be confirmed.
 - ▶ any other information (or technical support person) required to conduct audit.
 - Contact the School/Centre/Section to be audited and arrange/confirm audit date/time and audit scope.
 - Obtain additional information / arrange technical support person to assist as required.

4.1.2 Conducting the Audit:

- Meet with relevant School/Centre/Section staff and others to gather information.
- Check documentation/processes/other items as required as per scope.
- Organise a date/time to present Audit findings.

4.1.3 Compiling the EMS Internal Audit Report

- Write up the EMS Internal Audit findings, using EMS Internal Audit Report Form 2.
- Provide detailed information on items requiring further attention in Parts A-D:
 - ▶ Clearly reference items to be addressed (eg. 7A Chemical Waste, Item 3.1, Page 2, Waste Generator's task)
 - ▶ Provide details that relate directly to the EMS procedure and back up with quantifiable evidence (eg of the 7 interviewed, 5 demonstrated a knowledge of ...)
- Discuss the draft audit report with the Environmental Coordinator and finalise report.
- Distribute copy of final report to School/Section, Audit Team members and Environmental Coordinator.

4.1.4 Presenting the EMS Internal Audit Report:

- Present findings and distribute a copy of the completed Internal Audit Report Form 2 to the relevant School/Centre/Section within 1 month of the audit being conducted.
- Advise School/Centre/Section to complete Part E (Auditee Response) to address the audit findings and send to the Environmental Coordinator within 1 month of receiving the report. If the report includes a major nonconformance, the School/Centre/Section should immediately contact the Environmental Coordinator.

4.2 Conducting EMS Audits within Property and Facilities Division

For details on Internal Audits conducted within Property and Facilities Division, refer to PF-A/W29.0 Management of Internal Audit.

5. Managing Non Conformances

5.1 Corrective Action

- University Schools/Centres/Sections are responsible for investigating and correcting environmental issues that may arise as a result of an EMS Internal Audit.
- The audited area is to develop a Correction Action Plan and list details on the EMS Internal Audit Response form (EMS Form 3). The form is to be completed and returned within 1 month of receiving the EMS Internal Audit Report.
- If the report includes a major nonconformance, the School/Centre/Section should immediately contact the Environmental Coordinator to discuss immediate corrective action to be taken.

5.2 Monitoring

- The Environmental Sub Committee that includes representatives from a range of Schools and Centres, and Property and Facilities, monitors School/Centre/Section EMS Internal Audit findings and associated corrective actions.
- A summary of School/Centre/Section EMS Internal Audit findings are reported to the Environmental Management Committee by Property and Facilities representatives.
- EMS Internal Audit data is maintained to provide information to review the effectiveness of Environmental Management System and corrective actions.

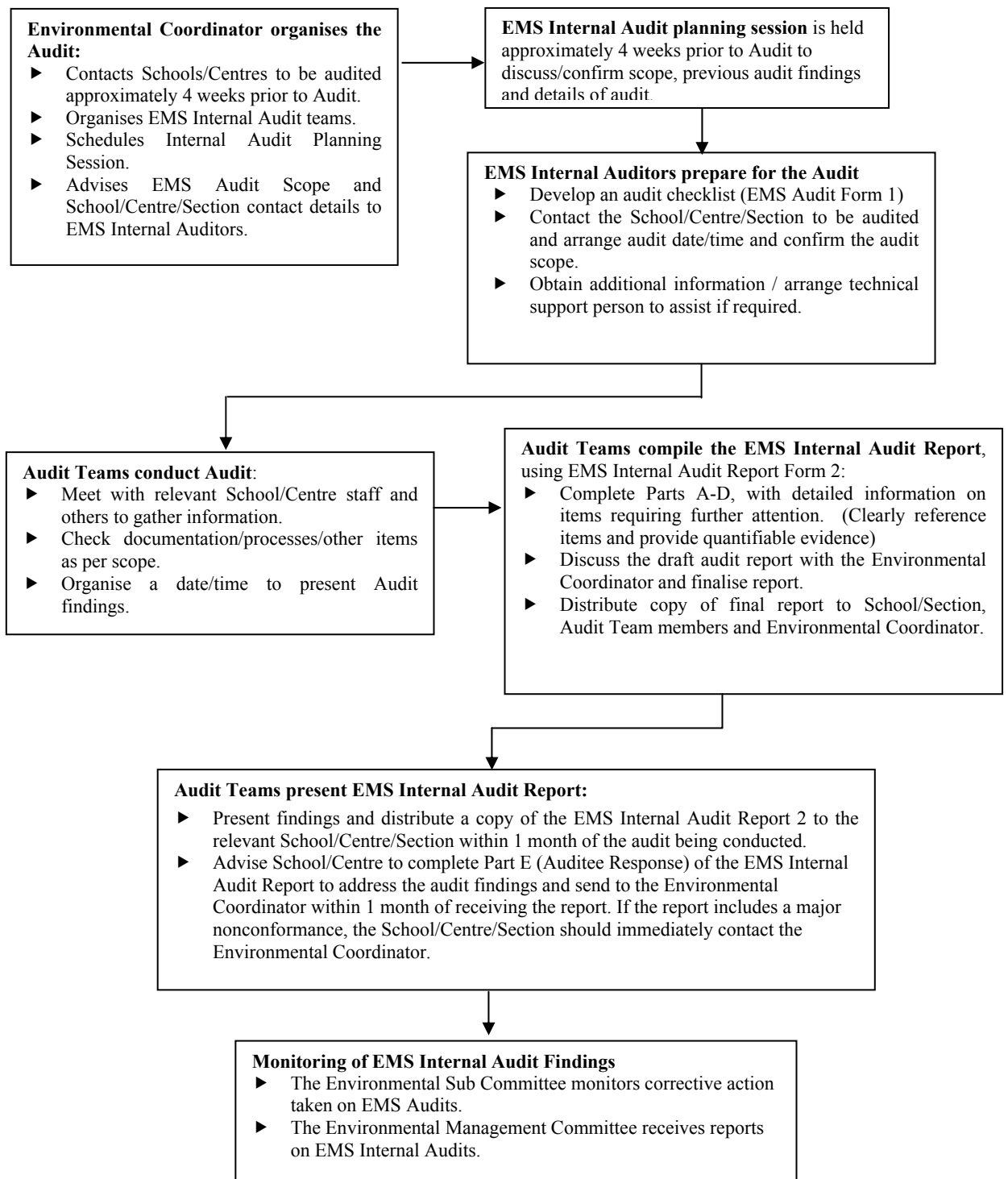
6. EMS Internal Auditor Training

University EMS Internal Auditors shall attend an Internal Auditor's Training course, as arranged by the Environmental Coordinator, Property and Facilities Division.

In order to ensure the competence of EMS Internal Auditors, the above course will include a trial audit where trainers and experienced EMS Internal Auditors accompany the trainees. The trainee's performance is assessed and feedback is then given on the audit and on the report findings as part of the training process. Those who successfully complete the course receive a certificate.

The Environmental Coordinator, in conjunction with the Environmental Sub Committee, will annually assess whether EMS internal auditors require further training, and/or additional internal auditors should be trained as required.

7. EMS Internal Audit Flowchart



8. EMS Internal Auditing Responsibilities

Section	Responsibilities	Contact	Phone
Environmental Services, Property and Facilities Division	<ul style="list-style-type: none"> • Develops/revises School/Centre EMS Internal Auditing Schedule • Defines EMS Internal Audit scope • Notifies Schools and Centres that they are to be audited. • Keeps copies of all associated documents. • Assesses/arranges training for EMS Internal Auditors • Provides information and reports to Committees. 	Environmental Coordinator	(07) 336 <u>52076</u>
University EMS Internal Auditors	<ul style="list-style-type: none"> • Plans EMS internal audit according to scope • Contacts relevant School/Centre staff • Conducts internal audits • Compiles/presents Internal Audit Report. 	University Internal Auditors as per register.	
Schools/Centres/Sections	<ul style="list-style-type: none"> • Develops Corrective Action Plan • Completes EMS Internal Audit Report form. 		
Environmental Sub Committee	<ul style="list-style-type: none"> • Monitors School/Centre/Section EMS Internal Audits and corrective actions. 	Convener	(07) 336 <u>53000</u>
Environmental Management Committee	<ul style="list-style-type: none"> • Receives reports on EMS Internal Audits. 	Convener	(07) 336 <u>52233</u>

9. Definitions

9.1 Auditor

A person with competence to conduct an audit.

9.2 Corrective Action

Action to eliminate the cause of a detected nonconformity.

9.3 Nonconformity

Non-fulfilment of a requirement. Not only an environmental incident but system or operational issues as well.

9.4 Procedure

Specified way to carry out an activity or a process that may or may not be documented.