

Environmental Management System Procedure Audit Procedure

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| Document No. 10007 | Issue Date: 6/6/13 | Revision No: 0 | Revision Date | Prepared By: Brooke Butler | Reviewed By: Dave Elias | Approved By: |
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Aspects, Impacts and Significant Criteria Procedure Control:

| Version | Date | Author | Change Description |
|---------|--------|---------------|--------------------|
| 1 | 6/6/13 | Brooke Butler | |
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The City of Iowa City Landfill and Recycling Center at its option, may change, delete, suspend or discontinue parts or the policy in its entirety, at any time without prior notice. In the event of a policy change, employees will be notified. Any such action shall apply to existing as well as to future employees.

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1 POLICY

- 1.1 Continual improvement of our environmental performance through proactive environmental management and self-assessments and/or third party assessments.
- 1.2 Utilization of Environmental Management System (EMS), as appropriate for our operations, to provide a framework for systematically reviewing and reducing our environmental footprint.

2 PURPOSE

This document describes the procedure for planning, performing, and documenting periodic internal EMS audits of the Iowa City Landfill and Recycling Center EMS program.

3 SCOPE

This procedure applies to all CIC Landfill and Recycling Center employees when engaged in work activities within the CIC Landfill and Recycling Center fenceline.

4 RESPONSIBILITY & AUTHORITY

- 4.1 Managers are responsible for the following: providing direction and committing resources for completing non-conformances resulting from audit findings.
- 4.2 The Superintendent is responsible for:
 - 4.2.1 Participating and supporting the audit program and providing personnel to serve as internal EMS auditors.
 - 4.2.2 Approval of the audit plan.
 - 4.2.3 Approval of the audit report including non-conformances.
 - 4.2.4 If necessary, resolving any disputed findings from the audit report.
 - 4.2.5 Periodically updating managers regarding the status of the internal audit program and issued non-conformances.
- 4.3 The EMS Core Team is responsible for developing, administering and maintaining the EMS audit program including:
 - 4.3.1 Maintaining relevant documents and records.
 - 4.3.2 Assigning and communicating roles and responsibilities to the audit team members.
 - 4.3.3 Planning and directing EMS internal audits.
 - 4.3.4 Selecting and supervising EMS internal audit team members.

- 4.3.5 Preparing audit plans, audit tools and report generation.
- 4.3.6 Verifying completed corrective actions/preventive actions requests.
- 4.3.7 Providing program updates to internal audit team.
- 4.3.8 Evaluating audit trends to be included in EMS Manager reviews.
- 4.3.9 Designating the EMS Lead Auditors.
- 4.3.10 Providing training for EMS internal audit team members.
- 4.3.11 Preparing and reporting auditing findings and non-conformances to the Supervisor.
- 4.3.12 Issuing non-conformances as recommended by the audit team and approved by the Supervisor.
- 4.4 Environmental Management Representative (EMR) is responsible for the following:
 - 4.4.1 Participating in audits conducted at ICLFRC facilities.
 - 4.4.2 Supporting the Core Team in conducting EMS internal/external audits.
 - 4.4.3 Reviewing EMS auditing findings and determining corrective actions and preventive actions.
 - 4.4.4 Responding to and implementing corrective actions and preventive actions in the appropriate time frame.
 - 4.4.5 Tracking corrective actions and preventive actions and reporting implementation efforts to appropriate managers, supervisors and Superintendent
- 4.5 EMS Lead Auditors are responsible for the following:
 - 4.5.1 Conducting the opening and closing meetings during the audit.
 - 4.5.2 Guiding the audit team during the audit phase of the EMS internal audits.
 - 4.5.3 Serving as the principal contact in the audited facility during the audit phase of the EMS internal audits.
 - 4.5.4 Consolidating audit findings received from the audit team members.
 - 4.5.5 Determining non-conformances and observations
- 4.6 Audit Team Members are responsible for the following:
 - 4.6.1 Supporting the EMS lead auditor including assisting in documenting opening and closing meetings.
 - 4.6.2 Completing the audit through site investigations, document review, and interviews.

- 4.6.3 Assisting in the determination of audit findings including recommending non-conformances.
- 4.6.4 Attending annual refresher training.
- 4.7 Facility Supervisors are responsible for the following:
 - 4.7.1 Providing appropriate resources, work space, and necessary documentation to support EMS audits.
 - 4.7.2 Participating in audits at their facility.
 - 4.7.3 Supervising the timely completion of corrective action.
- 4.8 Department personnel/staff are responsible for fully cooperating with internal auditors during the auditing process.

5 PROCEDURE

- 5.1 The EMR shall ensure that periodic EMS audits are conducted to verify that the system is working as planned and is facilitating achievement of the environmental objectives and targets.
- 5.2 The EMS audits will be completed in accordance with the ICLFRC audit schedule.
- 5.3 Auditors:
 - 5.3.1 The EMS Audit Team is composed of the EMR, or designee and internal auditor representative.
 - 5.3.3 All staff members shall participate in audits, upon request by auditors and/or management, when their respective area is being audited.
 - 5.3.4 No auditor shall conduct an audit of his/her own working area.
 - 5.3.5 All internal EMS auditors must have been trained on the EMS Auditing Procedure and observed at least one internal audit and audited under the guidance of a previously qualified auditor.
- 5.4 Using the Audit Schedule, the Auditors will arrange a date for the audit with the supervisor, managers and other affected personnel. A meeting will be held prior to the audit to devise a plan for performing the audit.
- 5.5 Site Audit:
 - 5.5.1 Auditors will conduct the EMS audits using the audit guidelines set forth.
 - 5.5.2 Auditors will record audit findings in the Audit Report.

- 5.5.3 Some potential non-conformances may need further investigation and/or clarification by managers or affected personnel before it is designated as a finding.
- 5.5.4 The audit program is designed to evaluate the EMS program, not to place blame on people. Therefore individuals' names should not be used in the report; they should be referred to by position or other description.
- 5.5.5 During the closing meeting, auditors will discuss audit findings, corrective actions, and any identified observations.
- 5.6 All reports will be collected and filed in the EMR's files.
- 5.7 **Reevaluation and Modification:** Based on the report and findings from the audit, the ICLFRC's EMS shall be reevaluated and modified. The areas where the EMS has met, exceeded, or failed to meet expectations are reviewed with management. If necessary, root causes of the outcomes shall be identified and additional goals and activities developed. Reevaluation and modification is an opportunity to realize the ICLFRC's commitment to continuous improvement and should not be looked upon negatively.