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## EMS Procedure Internal Audit – DMASWA

Effective Date: \_\_\_15 August 2010\_\_

Reviewed By: \_\_\_\_\_

Revision Number: \_\_\_0\_\_\_\_\_

Approved By: \_\_\_\_\_

Signature: \_\_\_\_\_

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### 1.0 PURPOSE

This procedure establishes minimum requirements for planning, performing, and documenting periodic internal audits of the Environmental Management System established for the Dubuque Metropolitan Area Solid Waste Agency (DMASWA).

### 2.0 SCOPE

This procedure applies to all internal EMS audits conducted within the fence line of the DMASWA’s EMS.

### 3.0 RESPONSIBILITY

3.1 **Environmental Management Representative (EMR)** is responsible for establishing audit schedules and for designation or selection of Lead EMS Auditors who are independent to the day-to-day management of the EMS functions to be audited. The EMR shall also review and approve EMS audit plans and reports.

3.2 **Lead Auditor** is responsible to the EMR for the organization, planning, and direction of EMS audits, as well as the selection, training, and supervision of the audit team. The Lead EMS Auditor prepares audit plans and reports, and is responsible for evaluating and recommending any required corrective and preventive action responses resulting from audit findings.

3.3 **Facility Managers/Supervisors** are responsible for providing time, work space, and personnel as necessary to support the performance of EMS audits, and are responsible for supervising the prompt and effective resolution of any audit findings.

3.4 **Agency Staff** are responsible for fully cooperating with internal auditors during the auditing process.

## 4.0 PROCEDURES

- 4.1 The audit process is described in the following steps:
- 4.1.1 Audit Scheduling: EMS Audits shall be conducted at least once annually. Audit frequency may be increased at the discretion of the EMR or when specifically requested by upper management.
  - 4.1.2 Audit Notification: The Lead EMS Auditor shall notify the Facility Manager and Agency Staff of the audited organization at least ten days prior to the projected audit date. The notification shall set the date, time, location, subject matter and method of the opening meeting, and shall request that appropriate facility personnel participate.
  - 4.1.3 Audit Plan: The Lead EMS Auditor shall prepare an audit plan. At a minimum, the audit plan shall include the following:
    - The date of the audit,
    - A statement of the audit objectives,
    - A discussion of any special emphasis or focus; reference to appropriate plans, procedures, or requirements documents,
    - Identification of the audit team and the members' assigned roles.
- 4.2 Audit Checklist Preparation: The Lead EMS Auditor shall prepare an audit checklist based on the elements of the requirements of the DMASWA Environmental Management System Plan. Checklist content shall be consistent with the scope of the audit presented in the Audit Plan. Copies of the checklist, the audit plan, and any required reference specifications, procedures, or plans shall be distributed to the audit team prior to the audit. The Lead EMS Auditor shall brief the audit team on the general scope of the audit and the details of the audit plan prior to the audit.
- 4.2 Conducting the Audit
- 4.2.1 The Lead Auditor shall convene the opening meeting to brief the Audit Team on the general scope of the audit, the details of the audit plan, receive input on the audit plan and schedule and discuss assignments.
  - 4.2.2 Review key EMS documentation before touring the site and conducting interviews. Documents and records that shall be reviewed include but are not limited to:
    - Environmental Policy
    - System Procedures
    - Action Plans
    - EMS audit reports
    - Results of Management Reviews

- Status of compliance with voluntary requirements

4.2.3 Tour the site.

4.2.4 Interview staff and observe activities and conditions. Responses and evidence shall be documented.

4.2.5 Look for evidence to verify information from interviews through observations, records, or independent sources paying particular attention to items previously identified for corrective or preventative action or findings from other audits.

4.2.6 Findings and observations will be documented by the Lead Auditor; including any corrective action taken during the audit.

4.2.7 The Lead Auditor conducts the closing meeting to present audit findings, clarify any conflicting or confusing information, identify positive practices, review objective evidence that supports the findings, and summarize the audit results.

#### 4.3 Reporting Audit Results

The audit team will prepare the audit report, which will include the scope, objectives, auditing criteria, the date of the audit, audit team members, distribution list, and audit findings. This report will be distributed to the EMS Core Team, Agency staff, and Agency Board members.

#### 4.4 Audit Follow Up

The EMR and the EMS Core team are responsible for any follow-up actions needed as a result of the audit. The EMR is responsible to tracking the progress and effectiveness of corrective actions.