

*Steps of an  
ISO 14001:2004  
Internal Audit*

*Audit of the Eco Toy Company*



Copyright ©2009 Lorne Duquette for the 14000 Store

# Contents

- Review Internal Audit Standard
- Review Basic Steps for an Audit
- Schedule Audit
- Plan Audit
- Opening Meeting
- Audit Areas
  - Prepare the checklists
  - Write up nonconformances
- Final Report
- Closing Meeting
- Audit File
- Questions
- Review Nonconformances



## *Prepare an audit plan for ETC*

- Determine the scope of the audit
- Designate a lead auditor
- Identify the audit team
- Schedule your time to make the audit as effective as possible within the time allowed (Lead Auditor)
- Include time for follow-up on previous corrective actions

Copyright ©2008 Lorne Duquette for the 14000 Store



Have each student fill out the audit plan that is next in the student manual.

Have them use the Eco Toy Company Documents:

- Internal Audit Schedule
- Audit Chart
- ...following the ETC EMS Manual.

Sample Audit Plan on next page->>>>>>>



## *Hold an Opening Meeting (with ETC Management)*

### **Agenda**

- Introductions
- Have attendees sign-in
- Review the scope of the audit
- Establish communication
- Confirm times
- Schedule the closing meeting
- Ask for any questions

Copyright ©2008 Lorne Duquette for the 14000 Store



Have each team choose a lead auditor and conduct an opening meeting.

If you have several teams:

- Team 1 (Audit Team) can hold a meeting with Team 2 (ETC), and team 3 with team 4 etc.
- When they have finished, have them reverse the roles, and repeat

## *Prepare the checklists:*

### **4.2 Environmental Policy**

- Read the procedure for Environmental Policy in the ETC Manual, section EMS-4.2
- Review the checklist for 4.2 in the student manual
- Write any additional question on the checklist that you would like to ask to verify that ETC is following their procedure

Copyright ©2008 Lorne Duquette for the 14000 Store



When the students are ready to audit the first scheduled area for the ETC audit, let them ask questions of the trainer who will act the part of R. Smith, the ETC President.

Have the students turn their manual to the **Audit checklist for 4.2 Environmental policy.**

The students are now ready to audit Eco Toy Company's Environmental policy.

They should make all their notes on the checklist.

To audit, use the information in the Eco Toy Company documents and records:

- The ETC Manual section 2
- EMS-4.2 Procedure for Environmental policy
- Master Document List.
- Organization Chart in the manual

They should check the rest of the procedures in the manual, to see if they match the master list.

Have the students write down their questions on the checklist.

## ***Nonconformances: 4.2 Environmental policy***

- The environmental policy has not been communicated to all persons working on behalf of the organization
- The environmental policy was not formulated by the top management
- The environmental policy is not aligned with the defined scope of the EMS
- The policy does not express commitment to compliance to legal and other requirements to which the organization subscribes to.

Copyright ©2008 Lorne Duquette for the 14000 Store



### **Nonconformances: 4.2 Environmental policy**

- The environmental policy was not formulated by the top management
- The environmental policy is not aligned with the defined scope of the EMS
- The policy does not express commitment to compliance to legal and other requirements to which the organization subscribes to.
- The environmental policy has not been communicated to all persons working on behalf of the organization