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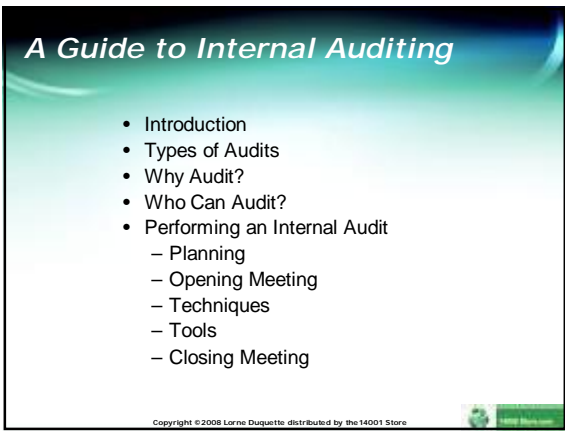
ISO 14001

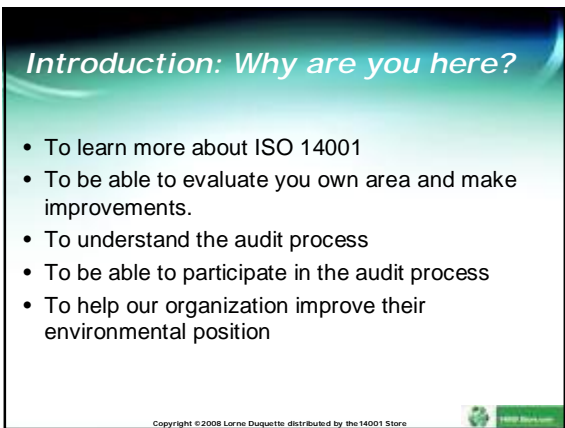
Internal Auditor Training



Student Manual



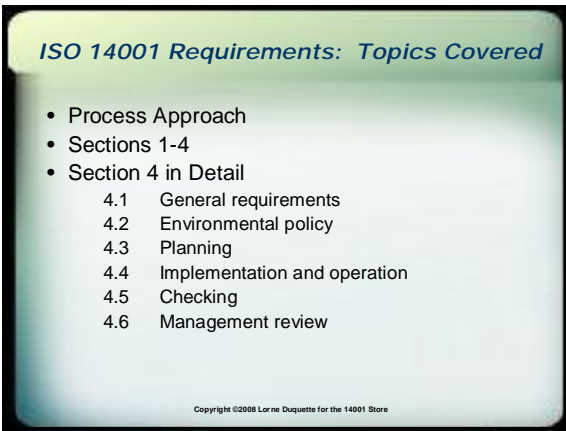


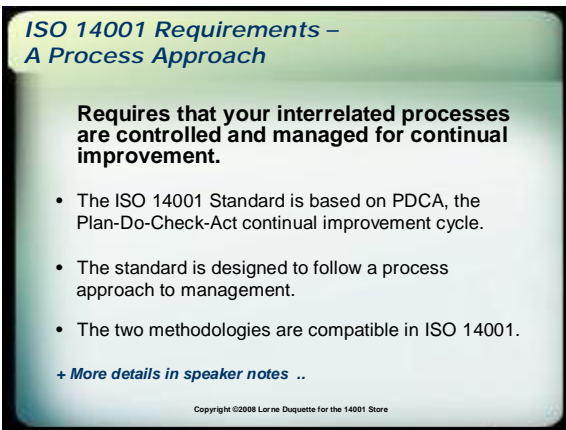


Is it a Requirement?

<i>The standard requires that:</i> If the requirement is true, circle True and list the clause. If it is false, circle False and list the clause used.	True	False
1. The ISO 14001 Environmental management system (EMS) must be established, documented, implemented and maintained to continually improve the system	T <i>Clause:</i>	F <i>Clause:</i>
2. The environmental policy as defined by top management is required to be communicated to all persons working for or on behalf of the company.	T <i>Clause:</i>	F <i>Clause:</i>
3. Top management must appoint a representative to ensure that the EMS is established, implemented and maintained.	T <i>Clause:</i>	F <i>Clause:</i>
4. The management representative is not required to report on the performance of the EMS to top management.	T <i>Clause:</i>	F <i>Clause:</i>
5. Internal and external communication regarding environmental matters must be maintained.	T <i>Clause:</i>	F <i>Clause:</i>
6. Management must review the environmental management system every quarter.	T <i>Clause:</i>	F <i>Clause:</i>
7. A written procedure is needed to identify the environmental aspect(s) of the company activities and to determine the aspect(s) that have significant impact(s) on the environment.	T <i>Clause:</i>	F <i>Clause:</i>
8. Persons performing tasks for the company or on behalf of the company that may have potential environmental impacts must be competent.	T <i>Clause:</i>	F <i>Clause:</i>
9. Employee training must include the awareness of the consequences of departure from specified procedures.	T <i>Clause:</i>	F <i>Clause:</i>
10. The scope of the environmental management system is required to be defined and documented.	T <i>Clause:</i>	F <i>Clause:</i>
11. A documented procedure is required to deal with actual and potential nonconformities and taking corrective and preventive actions.	T <i>Clause:</i>	F <i>Clause:</i>
12. A documented procedure is required to handle emergency preparedness and response.	T <i>Clause:</i>	F <i>Clause:</i>
13. The results of corrective and preventive actions taken do not need to be recorded.	T <i>Clause:</i>	F <i>Clause:</i>
14. An operational procedure may be required to ensure that monitoring and measuring equipment is calibrated.	T <i>Clause:</i>	F <i>Clause:</i>
15. An operational procedure is not necessary to handle purchasing, out-sourcing and sub-contracting.	T <i>Clause:</i>	F <i>Clause:</i>







Steps of an ISO 14001:2004 Internal Audit

Audit of the Eco Toy Company



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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



Internal Audit Procedure

MSP-455 INTERNAL AUDITS 01/01

455.1 Purpose

1.1 To maintain a system of auditing the Environmental Management System to verify that environmental activities comply with requirements and to determine the effectiveness of the EMS at the Eco Toys Company.

455.2 Scope

2.1 Internal audits are carried out on a scheduled basis each year. The audit schedule is based on the status and priority of each activity and all activities and areas of the organization are covered by the audit over a period of time.

455.3 Responsibility

3.1 The *President* provides the overall leadership and is responsible for the EMS audits.

3.2 EMS auditors are responsible to perform the audits. Auditors are qualified on having knowledge, experience, and training in environmental assessments. They are selected so as to ensure objectivity and impartiality in the audit process and have the freedom from bias or other influences that could affect their objectivity.

455.4 Procedure

4.1 The *EMS Management Representative* in consultation with the management group develops a schedule using the *EMS Internal Audit Schedule* form 455-1.


4.2 The *EMS Management Representative* provides the audit plan to the EMS Management System, form 455-2, which is used by the EMS auditors who are responsible to perform the audits.

4.3 A compliance review is completed for the audited EMS to corroborate the findings. This summary, which is in the form of 455-3, provides a means of measuring the effectiveness of the audited processes, verifies the individual site procedure and provides a score sheet to measure the progress of the environmental system.

4.4 Audit reports are sent to the top level of the Management Review process. The compliance analysis & summary is also used to schedule the next management review meeting within one month after the completion of the internal audit.

4.5 Qualified auditors who perform the audit may be obtained either from inside or outside the organization. Company procedures are arranged to become familiar with auditing techniques and participate in the internal audit as auditors.

4.6 Corrective actions resulting from audit findings are requested as described in procedure for Corrective Action, except that the corrective action report, form 455-1 is submitted by the auditor(s) performing the internal audit.



Appendix

Qty	Item	# of Pages
1	MSP-455 Internal audit procedure.....	2
1	Memo from J. Sample at Eco Toy Company (ETC).....	1
1	Basic Steps to an Internal Audit.....	1
1	Internal audit plan – blank form #455-1.....	1
1	Example of internal audit plan on form #455-1.....	1
1	Internal audit checklist – blank form #455-2.....	1
1	Examples of internal audit checklists for: 4.2 Environmental policy, 4.3.1 Environmental aspects, 4.4.2 Competency, training and awareness, 4.5.3 Nonconformity, corrective and preventive action, 4.6 Management review.	5
1	Corrective/preventive action request –CPAR blank form #453-2.....	1
5	Examples of audit non-conformances – CPARs on form #453-2 CAR-005 Environmental policy, CAR-010 Environmental aspects, CAR-015 Competency, training and awareness, CAR-020 Nonconformity, corrective and preventive action, CAR-025 Management review.	5
1	Internal audit report – blank form #455-3.....	1
1	Example of internal audit report on form #455-3.....	2
1	Closing meeting agenda.....	1
1	The audit file	2

Memo



To: Expert Audit Assistance

From: J. Sample

Date: Jan 5, 2009

Subject: Request for Internal Audit

As we discussed on the phone, our company will be having a registration audit in September 2009. We have developed and are implementing our environmental management system and are ready for our first of a group of planned internal audits and would like your group of expert auditors perform the audits for us before our registration audit.

During the first audit we would like your expert auditors to audit a minimum of one section for each of the five clauses (4.2, 4.3.1, 4.4.2, 4.5.3, 4.6) of the standard. The remaining clauses of the ISO 14001:2004 standard will be audited during subsequent internal audits.

I would like you to come in on January 8th to review our audit files and prepare your audit plan. We will schedule the audit for the morning of January 15th.

Best regards

Joe

QA Manager / EMS Management representative

The Internal Audit Plan / Schedule

F-455-1

Audit Number:		Opening Meeting Attendees:		
Date				
Area(s) to be audited:		Closing Meeting Attendees:		
Scope of audit and objectives:			Standard: ISO 14001:2004 Other: _____	
Auditors:				
Proposed Schedule				
Time	Process or Procedure	Team 1	Team 2	
Corrective Actions to be verified:				
Primary contact:		Time and Place for closing meeting:		
Additional information:				
Signature of Lead Auditor:			Date	

Example

Corrective Action and Preventive Action Request

F-453-2

P-D-C-A	<input checked="" type="checkbox"/> CORRECTIVE ACTION REQUEST - CAR # 025 Jan 15, 2009 <input type="checkbox"/> PREVENTION ACTION REQUEST - PAR # ___-___ Date ___-___ CAR prepared by : R. Richards					
Service/Product: Ref Internal audit of Jan 15, 2009 Part No. MSP-460, Form #460-1 Problem Reported by: R. Richards Identification of Nonconformity: During the management review of Feb 6, 2009, the Environmental policy was not reviewed to determine if it continues to be appropriate and / or if it can be improved as required by paragraph 4.6 of MSP-460.						
PLAN-DO-CHECK-ACT	Resolution of nonconformity assigned to: J Sample, EMS Rep Evaluation: Analysis indicates the following: The environmental policy agenda item was listed as the last item and time was not available during the 1 st management review meeting to review the environmental policy.					
PLAN	Actions Required: For the 2 nd management review meeting scheduled for April 10, 2009, revise the management review meeting agenda and review the Environmental Policy as the first item on the agenda <i>Use reverse side if required.</i>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="text-align: center;">By Dept</td> <td style="text-align: center;">Promise date</td> </tr> <tr> <td style="text-align: center;">J Sample</td> <td style="text-align: center;">April 10, 2009</td> </tr> </table>	By Dept	Promise date	J Sample	April 10, 2009
By Dept	Promise date					
J Sample	April 10, 2009					
DO	Actions Taken: Management review meeting agenda, form #460-1 is scheduled for revision by April 1, 2009.					
CHECK	Actions Effective: <input type="checkbox"/> Yes, <input checked="" type="checkbox"/> no...next follow-up date 4-2-09 <input type="checkbox"/> yes, <input checked="" type="checkbox"/> no...next follow-up date 4-11-09 <input type="checkbox"/> YES.					
ACT	P-D-C-A Report is closed-out Actual Completion/Implementation Date: _____ EMS Review by: _____ Date: _____					

Form #453-2