


Vacman Cleaning Ltd	
Environmental Management System	

Procedure Title: EMS Audit		Procedure No: 24
First issued: 03.04.04	Last revised: 08.01.06	Revision No: 06.0
ISO 14001 reference: 4.5.5		
O M reference: 2-01		
Related procedures:	<ul style="list-style-type: none"> ▪ Procedure 19 - Maintenance of Register of Applicable Legislation and Other Requirements ▪ Procedure 22 - Document Control ▪ Procedure 13 - Training ▪ Procedure 11 - Purchasing in-house ▪ Procedure 4 - Emergency response ▪ Procedure 7 - Environmental complaints ▪ Procedure 23 - Non-conformance and corrective action 	

1. Purpose


- 1.1 To determine whether the Vacman Cleaning Ltd's Environmental Management System (EMS) conforms to planned arrangements for environmental management, including the requirements of the international standard ISO 14001.
- 1.2 To determine whether the environmental management system has been properly implemented and maintained.
- 1.3 To provide information on the results of audits to management.

2. Scope


- 2.1 All elements of Vacman Cleaning Ltd's Environmental Management System.

3. Definitions

- 3.1 Audit – a systematic and documented verification process of objectively obtaining and evaluating evidence
- 3.2 Internal Audit (First Party Audit) – an audit carried out by the company on its own performance
- 3.3 *External audit (third party audit) – an audit conducted by a third party in accordance with the requirements of ISO 14001, to attain/ maintain certification.*
- 3.4 Element – a particular aspect of the Environmental Management System e.g. record keeping.

Vacman Cleaning Ltd	
Environmental Management System	


- 3.5 *Environmental auditor – persons who have completed the auditor training for ISO14001 and can display competency and objectivity in the tasks and duties of an environmental audit.*
- 3.6 Non-conformance Report (NCR) - a report issued by an auditor when the objective evidence of an auditor reveals that activities are either not in compliance with the relevant components of the EMS, the EMS is not being implemented effectively, or, the EMS as implemented does not comply with the requirements of the standard. NCRs are categorised into three distinct categories:-
- 3.6.1 Category 1 - a major non-conformance with the requirements of the standard and therefore requiring urgent/immediate remedial action
 - 3.6.2 Category 2 - a significant number of minor non-conformances with the requirements of the standard and where remedial action is required.
 - 3.6.3 Category 3 - minor problems areas, attention is warranted.
- 3.7 Observation: -
- 3.7.1 An issue that requires attention in order to improve the operation of the environmental management system and that if left un-addressed is likely to lead to a non-conformance during future audits; or
 - 3.7.2 An example of good environmental practice that deserves recognition
 - 3.7.3 A flag for re-revisit at next audit.
- 4. Responsibilities**
- 4.1 It is the responsibility of the Managing Director Environmental Manager to ensure that Vacman Cleaning Ltd's Environmental Management System is audited in accordance with the requirements of ISO 14001.
 - 4.2 It is the responsibility of the Managing Director to audit each site in accordance with the Audit Schedule.
 - 4.3 It is the responsibility of the Managing Director to ensure that an accredited External auditor has been appointed under contract and to ensure that external audits are conducted at a frequency appropriate to the maintenance of ISO 14001 certification.
 - 4.4 It is the responsibility of the Managing Director to audit those parts of the system that are managed by Line Managers, in accordance with the Audit Schedule.
 - 4.5 The Managing Director is responsible for reporting quarterly to the board of Directors on the results of any audits undertaken during the period.

Vacman Cleaning Ltd	
Environmental Management System	

- 4.6 It is the responsibility of all employees to co-operate with audit procedures and auditors.
- 4.7 It is the responsibility of the Managing Director to maintain a list of trained auditors and to ensure that a sufficient number of auditors have been trained.
- 4.8 It is the responsibility of Site Supervisors /Line Managers to ensure that any non-conformances identified by an environmental audit are addressed.

5. Procedure

- 5.1 An audit schedule will be established by the Managing Director to ensure that all areas of the Company's Environmental Management System are audited.
- 5.2 For internal audits, the intervals between auditing a particular site or element will vary between one year and three years dependent on the significance of the environmental aspect associated with that site or element.
- 5.3 Internal Auditors will not audit their own areas of responsibility.
- 5.4 Environmental Auditors will receive appropriate, documented training so they are equipped with the skills necessary to conduct an audit in a competent manner.
- 5.5 An internal environmental audit will be undertaken in the following manner:
 - 5.5.1 The Managing Director, or nominated deputy will identify the area/element that requires auditing
 - 5.5.2 At least two weeks before the planned audit a nominee from the list of trained auditors will be assigned to the audit and the relevant area/departmental manager ('responsible party') informed of the intention to undertake an audit.
 - 5.5.3 The nominated auditor will be responsible for planning, preparing and undertaking the audit in accordance with his/her training and the requirements of this procedure.
 - 5.5.4 During the planning stage the results of previous audits will be used to determine the audit scope, where applicable.
 - 5.5.5 The appointed auditor will liaise with the appropriate manager to agree a date for the audit.
 - 5.5.6 At the beginning of the audit the auditor will convene a brief meeting with the appropriate manager to outline the scope of the audit.
 - 5.5.7 The audit will be undertaken through completion of the template document (Appendix 1) and by recording details of the objective evidence gathered.

Vacman Cleaning Ltd	
Environmental Management System	

5.5.8 The auditor will meet with the appropriate manager at the end of the audit to relay findings, to give an opportunity for factual errors to be corrected, to agree corrective actions and to sign-off the audit.

5.5.9 The auditor will submit a written report to the manager of the area/department and to the Managing Director, or nominated deputy, within two weeks of the audit, as detailed below.

5.6 Internal Audit Reports

5.6.1 The results of the audit will be summarised in an Audit Summary Report (see Appendix 3). The Managing Director will maintain a sequential record of all audits undertaken in year order.

5.6.2 A satisfactory audit indicates objective evidence has been obtained to demonstrate that the EMS has been implemented as planned and is effectively maintained, and that it conforms to the requirements of the standard. Satisfactory audit reports will be:

- a) signed off as completed by the auditor
- b) filed in the audit master file for the appropriate year in sequential number order.

5.6.3 An unsatisfactory audit indicates that objective evidence has been recorded by the auditor to the effect that there is a single or series of non-conformances. In all such instances the auditor will:


- a) issue one or more non-conformance report(s) (see Appendix 2) to the responsible party against the relevant clause of the ISO14001 standard.
- b) record the issue of a non-conformance report on the Audit Summary Report.

5.7 Non-Conformance Reports for internal audits

5.7.1 A non-conformance report (NCR) is issued by the auditor to the responsible party for a certain element of the EMS, when the objective evidence of an auditor reveals that the activities are either not in compliance with the relevant components of the EMS, the EMS is not being implemented effectively, or the EMS as implemented does not comply with the requirements of the standard.

5.7.2 An NCR will be identified as category 1, 2 or 3, according to the aforementioned definitions.

5.7.3 An NCR will be completed by the auditor for each identified non-compliance, unless otherwise associated by a 'root cause'. Reports will identify the year/sequential number of the audit, the non-conformance number, details of the non-conformance, and the auditors recommendations. If necessary, objective evidence should be attached/filed with the non-conformance report.

Vacman Cleaning Ltd	
Environmental Management System	

- 5.7.4 Remedial action and the date for completion will be agreed between the auditor and the responsible party and details entered on the report.
 - 5.7.5 The auditor and the responsible party will sign the report to confirm agreement.
 - 5.7.6 When remedial action has been completed and objective evidence is available to indicated as such, the NCR will be signed by both the responsible party and the auditor to confirm that action has been completed
 - 5.7.7 Audit Summary Reports and associated NCRs where applicable should be kept in the master audit file, in sequential order, for a period of three consecutive years.
 - 5.7.8 Outstanding NCRs should be reviewed during each audit to determine progress towards implementing corrective actions.
- 5.8 External Audits will be arranged on a bi-annual basis with the appointed external auditors. Each site will be externally audited at least once during a three-year period.
- 5.9 The findings of the audit process will be reported to the ME on a quarterly basis.

6. Further References

ISO14010 Guidelines for environmental auditing - General principles

ISO14011 Guidelines for environmental auditing – Audit procedures – Auditing of environmental management systems.


ISO14012 Guidelines for environmental auditing – Qualification criteria for environmental auditors.

7. Record Forms

Appendix 1 – EMS Audit Template

Appendix 2 – Audit Summary Report

Appendix 3 – Non-Conformance Report

Vacman Cleaning Ltd	
Environmental Management System	

Appendix 1 – Internal Audit Template

Vacman Cleaning Ltd EMS Audit

Audit number: (prefixed by year, e.g. '99-01')	Site:	Date:	Sheet No.:
Auditor name:	Interviewee name:	Job title:	

ISO 14001 Clause:	Document/ Procedure no.	Document/ Procedure title:
Looking at (samples):	Looking for:	Comments

Auditor signature:

Appendix 2 – Non-Conformance Report for internal audits


**Vacman Cleaning Ltd EMS Audit
Non-conformance report**

NCR No:		Audit No:		Sheet No:		Date:	
Site:				Contact:			
Auditor/s:				Category of NCR:	1	2	3
Details of non-conformance:							
Auditor's signature:							
Recommendations							
Agreed by:					Target completion date:		
Signature:							
Action taken:							
Signature of responsible party:				Signature of auditor:			
NON-CONFORMANCE STANDARDS							
1. Major Non-conformance with a standard 2. Significant number of minor non-conformances with a standard 3. Minor problem areas which warrant attention							

Appendix 3 – Internal Audit Summary Report

**Vacman Cleaning Ltd EMS Audit
Summary Report**

Audit No:		Date:		Site:	
Department audited					
Scope of audit					
Auditor/s					
Summary					
Non-conformance reference numbers:					
Report prepared by:				Date:	
Report approved by: (Environmental Supply Policy Manager)				Date:	
Distribution:					

Vacman Cleaning Ltd	
Environmental Management System	

Appendix 3 – Internal Audit Summary Report (cont'd)

Vacman Cleaning Ltd	Energy	Transport	Waste	Water	Staff Awareness	Incidents	Complaints	Purchasing	Policy	Totals
Policy (4.2)										
Environmental aspects (4.3.1)										
Legislation (4.3.2)										
Objectives and targets (4.3.3)										
Management programme (4.3.4)										
Structure and responsibility (4.4.1)										
Training awareness and competence (4.4.2)										
Communication (4.4.3)										
Documentation (4.4.4)										
Document control (4.4.5)										
Operational control (4.4.6)										
Emergency preparedness and response (4.4.7)										
Monitoring and measuring (4.5.1)										
Non-conformance (4.5.2)										
Records (4.5.3)										
EMS Audit (4.5.4)										
Management review (4.6)										
Totals										