

EMS INTERNAL AUDIT PROCEDURE

Purpose and Application

1. This procedure establishes an internal audit process which reviews the effectiveness of the Environmental Management System (EMS).
2. These internal audits verify EMS implementation and the findings are addressed through Auburn University's corrective and preventive action system. The information from the internal audits is reviewed as part of the management review process.
3. The EMS internal audits are scheduled on the basis of the environmental importance of the activity concerned and the results from previous internal audits. Internal audit procedures include the scope, frequency, methodologies responsibilities, requirements for conducting internal audits and reporting the results.

Definitions

1. Lead Auditor(s) - The EMS Coordinator and/or the designated representatives.
2. Internal Auditors - Individuals who have received in-house training regarding the AU EMS and are qualified to perform internal audits at Auburn University.

Roles and Responsibility

1. Auburn University's Sustainability Advisory Committee is responsible for reviewing internal audit results to ensure EMS effectiveness and to provide internal auditors with the necessary resources to perform audits.
2. The Management Representative is responsible for reporting to the Sustainability Advisory Committee and assuring implementation of the Internal Audit Procedure.
3. The Lead Auditor(s) has the following responsibility and authority:
 - A. Proposing an audit schedule for review and approval by the EMS Task Force
 - B. Notifying departments of the internal audit schedule.
 - C. Coordinating internal auditors with departments
 - D. Issuing corrective action request (CAR) for all non-conformances identified.
 - E. Determining which observations and opportunities for improvement identified require a corrective action
 - F. Notifying department managers of the non-conformances and obtaining the assigned person, the corrective action and the estimated completion date.

- G. Scheduling follow-up verification audits of all completed corrective actions, with a qualified internal auditor
 - H. Closing non-conformances after successful verification or submitting a new CAR after unsuccessful verification.
 - I. Verifying activities associated with the internal audits non-conformances.
 - J. Providing information on the internal audits and corrective and preventive action process to the EMS Task Force to be included in the management review.
- 4. The Departments are responsible for implementing corrective action, within the designated time frame, to resolve any deficiencies in their area.
 - 5. The Internal Audit Team is responsible for the following audit activities:
 - A. Planning, conducting, documenting, and reporting audits
 - B. Adhering to the EMS Internal Audit Schedule and audit assignment
 - C. Compiling review reports and submitting them to the EMS Coordinator
 - D. Reporting any major obstacles encountered in performing the internal audit to the EMS Coordinator
 - 6. Internal auditors in training must audit under the coordination of a Lead Auditor.
 - 7. Contractors hired to conduct Auburn University's EMS internal audits must follow the EMS Internal Audit Procedure.

Procedure

EMS Coordinator	<ol style="list-style-type: none"> 1. Train Internal Auditors and/or verify that auditors have met training requirements 2. Work with the EMS Task Force to select the audit team 3. Notify departments to be reviewed, review the scope of the audit, and work with the audit team to determine a mutually agreeable time to conduct the audit 4. Meet with the Internal Audit Team Members prior to Internal Reviews and complete the Audit Preparation Checklist 5. Compile and retain the EMS Internal Review Schedule and the final review reports 6. Issue Corrective and Preventive Actions as needed
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Audit Team	<ol style="list-style-type: none"> 1. Prior to internal audits, meet with the EMS Coordinator/Lead Auditor to review the Audit Preparation Checklist and prepare working review papers 2. Perform the audits according to the schedule and the internal audit plan 3. Document audit findings and submit them to the EMS Coordinator
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Objective Evidence

Record / Form	Responsibility	Location	Retention
Audit Preparation Checklist(s)	EMS Coordinator	RMS Office files	3 years
Internal Review Report	EMS Coordinator	RMS Office files	3 years