

# UEL Environmental Management System

## Internal Audit Report



<b>Area / department being audited:</b>	<b>Audit reference number:</b>
<b>Auditee:</b>	<b>Date of audit:</b>
<b>Name of auditor:</b>	

<b>Objectives and Scope of Audit</b>
--------------------------------------

<b>Observations of Good Practice</b>
--------------------------------------

<b>Ref</b>	<b>Observation of Areas for Improvement</b>	<b>Category</b>



## Categories

**“A” Non Conformance** – identifies a major non-compliance with regulatory or internal standards, presents a potential interruption of UEL’s ability to operate, or represents a significant risk to human health or the environment. Examples of this include bulk storage of dangerous substances without secondary containment that could discharge directly into a river, or a major permit violation.

**“B” Non Conformance** – identifies a moderate non-compliance with a regulatory or internal standard, presents a medium risk of interruption of a portion of UEL’s operations, or represents a moderate risk to human health or the environment. Examples of this level include; not developing a plan required by regulation, exceeding regulatory limits, inspections not completed for >10% of required frequency, the absence of spill protection for drum quantities of materials, inadequate secondary containment.

**“C” Non Conformance** – identifies a minor non-compliance with regulatory or internal standards, or represents a minor risk to human health or the environment. Examples of this level include; not fully implementing a required plan, not being able to demonstrate compliance (unless required by permit) with a regulatory limit with no evidence that the limit is being exceeded, inspections not being completed for <10% of required frequency, the absence of spill protection for laboratory size containers, cracks in secondary containment.

**“O” Observation** – identifies an issue that requires attention to improve the operation of the EMS and that if left un-addressed is likely to lead to a non-conformance during future audits, an example of good environmental practise that deserves recognition or a flag for re-visit at the next audit.

**“R” Observation** – identifies a repeat occurrence of an observation from a previous audit that was reported as closed. The “R” Observation designation means that an item was found again in the same or substantially same circumstances. This includes those items identified in the most recent audit which were documented as ‘closed’ in a quarterly status report but found to be not fully corrected (i.e. all required action items were not completed).

## Referencing Guidelines

Action reference numbers match the observation references that the action relates to, but with an ‘A’ for action, instead of an ‘O’. For example, if observation O5 is ‘oil drums being stored without bund or drip-tray’, then the action ‘Put all oil drums in bunds or drip-trays’ would be A5. If multiple Actions arise from a single Observation, then they will be labelled A5a, A5b etc.