

UEL Environmental Management System

Internal Auditing Procedure



1. Purpose

This procedure describes the process for undertaking internal audits of the environmental management system to ensure compliance with the ISO14001 standard, and legal and other requirements.

2. Scope

UEL will ensure that internal audits of the environmental management system are undertaken at planned intervals to:

- a) Determine whether the environmental management system
 - i) Conforms to planned arrangement for environmental management including the requirements of the ISO14001 standard, and
 - ii) Has been properly implemented and is maintained
- b) Provide information on the results of the audits to management.

3. Auditing

Internal audits are an important management tool for the maintenance and improvement of the EMS (and consequently environmental performance).

The purpose is to:

- Identify good practice and promote the use of good practice across the organisation.
- Identify areas for improvement and to promote appropriate corrective actions.
- Evaluate the adequacy of the HS&E Management system across the Institute.
- Monitor compliance with legal requirements, UEL's own policies and procedures and guidance in line with ISO14001.

4. Roles and responsibilities

4.1 Planning and conducting audits

- The Energy & Environment Team will produce an annual internal audit programme and ensure that the audits are planned and executed in an impartial and objective manner.
- This include arranging the date and scope of the audit with the auditee. Relevant documentation may be requested e.g. Waste Carrier Licences, which should be provided in a timely manner by the auditee. They will then select an available member of the Audit Team to conduct the audit, and brief them on relevant background information.
- Two members of UEL staff will carry out each internal audit, at least one of whom will have attended at a minimum the two-day Internal Auditor Training course, delivered by an approved IEMA training provider.
- Both auditors should be familiar with EMS and have knowledge of the relevant audit criteria and activities they are auditing to enable them to evaluate performance and determine areas for improvements.

- One of the two internal auditors will be assigned lead auditor (who must have attended the Internal Auditor Training course) and will be responsible for ensuring that internal audit documentation is completed and submitted to the Energy & Environment Team.
- The auditors will; undertake a pre-audit review of the relevant documentation, conduct the audit and document good practice, observations of non-conformance and associated evidence, produce an audit report with corrective action plan as required, and agree arising actions with the auditee.

4.2 Reporting results

- The Energy & Environment Team will sign off internal audit reports and work with the auditee to ensure that audit findings are addressed. This includes the allocation of appropriate resources and setting target dates for completion of actions and resolving any non-conformances.
- Results of the internal audits will be collated and reported to the Environmental Sustainability Board at the annual Management Review. This will include progress on the previous year's performance.

4.3 Retaining records

- Completed audit reports including evidence e.g. photographs and any other associated documentation will be uploaded to the EMS wiki. The hard copies will be stored by the Energy & Environment manager until this is complete.

5. Audit criteria, scope, frequency and methods

Internal audits will be conducted for all relevant departments, functions and operations on an annual basis. The yearly audit programme will be determined based on the following criteria:

- Level of significance in the Aspects & Impacts Register i.e. environmental importance.
- Need for compliance with legislation and other requirements.
- Performance in previous audits.
- Result of adverse events e.g. incidents, inspections etc.
- Introduction of new processes, functions, operations etc.

The internal audit process and template documentation will be reviewed annually, assessing effectiveness and making improvements where necessary. The training needs and competence of internal auditors will also be reviewed, and the aim is to train more UEL staff to widen the pool of internal auditors.