

RASWC Environmental Management System

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Reviewed by: EMR

Approved by: EMS Core Team

1.0 Purpose

To establish minimum requirements for planning, performing, and documenting annual internal audits of the Environmental Management System established at Rathbun Area Solid Waste Commission.

2.0 Scope

This procedure applies to all internal audits of RASWC's EMS within its determined EMS fenceline.

3.0 Responsibilities

3.1 EMR Responsibilities:

- 3.1.1 Establish audit schedule among internal auditor, Director and RASWC staff.
- 3.1.2 Designation of internal auditor (must be independent of day-to-day management of the EMS functions to audited).
- 3.1.3 Review and approve EMS audit plans and reports.

3.2 EMS Core Team Responsibilities

- 3.2.1 Provide any and all records required for the internal audit.

3.3 Internal Auditor

- 3.3.1 Responsible to the EMR for the organization, planning, and direction of the audit.
- 3.3.2 Prepare audit plans and reports.
- 3.3.3 Evaluate and recommend any required corrective and/or preventive action responses resulting from audit findings.

3.4 RASWC Staff

3.4.1 Cooperate fully with internal auditor and EMR during the auditing process.

4.0 Procedure

4.1 The RASWC EMS Internal Audit process:

4.1.1 Audit Scheduling: Internal EMS Audits shall be conducted at least once annually. Audit frequency may be increased at the discretion of the EMR or when specifically requested by the Commission.

4.1.2 Audit Notification: The Internal Auditor shall notify the EMR and Director at least 2 weeks prior to the projected audit date. Notification shall set the date, time, subject matter and method of the opening meeting, and shall provide a meeting schedule with appropriate personnel.

4.1.3 Audit Plan: The Internal Auditor shall prepare and provide to the EMR an audit plan. At a minimum the plan shall include the following:

- Date of the audit
- Statement of audit objectives
- Discussion of any special emphasis or focus; reference to appropriate plans, procedures, or required documents.

4.2 Audit Checklist Preparation

The Internal Auditor shall prepare an audit checklist based on the elements of the requirements of the RASWC Environmental Management System Plan. Checklist content shall be consistent with the scope of the audit presented in the audit plan.

4.3 Conducting the Internal Audit

4.3.1 Review key EMS documentation before touring site and conducting interviews. Documents and records that shall be reviewed include but are not limited to:

- Environmental Policy
- System Procedures
- Action Plans
- EMS audit reports
- Results of Management Reviews
- Compliance Status

4.3.2 Tour the site.

4.3.3 Interview staff and observe activities and conditions. Responses and evidence shall be documented by Internal Auditor.

4.3.4 Look for evidence to verify information from interviews through observations, records, or independent sources paying particular attention to items previously identified for corrective or preventive actions or findings from other audits.

4.3.5 Findings and observations will be documented by the Internal Auditor, including any corrective actions taken during the audit.

4.3.6 The Internal Auditor will conduct a closing meeting to present audit findings to the EMR, Director and EMS Core Team, clarify any conflicting or confusing information,

identify positive practices, review objective evidence that supports the findings, and summarize audit results.

4.4 Audit Follow Up

The EMR and EMS Core Team are responsible for any follow-up actions needed as a result of the audit. The EMR is responsible for tracking the progress and effectiveness of corrective actions.

5.0 Revisions History

5.1 Revisions history section added 3/17/21