



Environmental Instruction

Doc Number: EMS – IA
Version: 1.0
Last Modified: 05/03/2018
Department Internal

Internal Audit

Revision History

Revision Date	Description	Sections Affected	Revised By	Approved By

1.0 Purpose

This procedure describes the methods for planning and conducting internal audits to verify that **MILTRAC INTERNATIONAL**'s activities are in compliance with its EMS and to determine if the EMS has been implemented properly.

2.0 Scope

This procedure applies to areas covered in the scope of the EMS.

3.0 Reference Documents

Section 4.5.5, EMS Manual
EP-07 Enquiry / Complaint / Nonconformity Handling
ISO 19011 Guidelines for Quality and Environmental Management Systems Auditing

4.0 Definitions

- EMR – Environmental Management Representative
- EMS Committee – Environmental Management System Committee
- EMS Audit – Environmental Management System Audits
- CAR – Corrective Action Report
- NC – Nonconformity

5.0 Responsibility

5.1 Top Management

The *(Top Management)* shall approve the audit plans, ensure that audit results are reviewed during management review meetings, and recommend EMS improvement actions based on the audit results.

5.2 Environmental Management Representative

The EMR shall prepare the audit plans, coordinate internal audits, review the audit results and ensure that corrective actions, if any, are taken by the relevant parties.

5.3 Internal Auditor

Auditors shall conduct the audit activities as assigned by the EMR.

5.4 Function / Departmental Manager

The Function / Departmental Managers shall assist the audit activities as required, review audit results and respond to NC as required.

6.0 Procedure

6.1 Audit Planning

6.1.1 The EMR shall prepare an **Audit Plan** (Appendix 1), which specifies the audit schedule, the scopes of audit and allocation of auditors. The audit plan shall be approved by the *(Top Management)*. The schedule shall be planned so that all EMS elements and all **BUSINESS ACITIVITIES** are covered at least once a year. The audit frequency shall also be based on the environmental importance of the activities concerned and the results of previous audits.

6.1.2 For each audit, the EMR shall assign auditors who are independent from the areas / functions to be audited. All auditors shall be qualified on the receipt of EMS auditing training.

6.2 Audit Preparation

6.2.1 The auditor shall contact the Auditee informally to arrange a convenient time and date to discuss the scope of the audit. The auditor shall prepare an **Audit Checklist (EF-EP09-02)** for the areas to be audited (checklist for reference is available from EMR / Intranet) and blank **CAR Forms (EF-EP07-01)** for the audit.

6.3 Conducting Audit

6.3.1 All audit findings (strengths and weaknesses) are documented on the Audit Checklist.

6.3.2 When a NC is found, the auditors shall report the details of NC on the CAR Form and inform the Auditee the summary findings and observations. (For use of CAR Form, refer to **EP-07 Enquiry / Complaint / Nonconformity Handling**).

6.4 Reporting and Follow-ups

6.4.1 The EMR shall maintain and update the CAR Status Log, which records all the CARs received.

6.4.2 The Auditee shall identify the causes of NC and decide the appropriate corrective and preventive actions to be implemented, the responsible person and the expected completion date for rectifying the NC.

6.4.3 The responsible auditor shall verify the CAR(s) until all outstanding items are closed.



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6.4.4 All CAR satisfactory closed out are sent to the *(Top Management)* for endorsement and maintained as EMS records.

6.5 Review of Audit Results

The EMR shall summarize the audit results in an **Internal Audit Report** (Appendix 3) for review at the Management Review. The audit results shall form the basis to identify and recommend EMS improvement actions.

7.0 Records

Record Description	Record Location/ Retention Responsibility	Minimum Retention Time
Audit Plan (EF-EP09-01)	EMR	3 years
Completed Audit Checklist (EF-EP09-02)	EMR	3 years
Completed CAR Forms (EF-EP07-01)	EMR	3 years
CAR Status Log (EF-EP07-02)	EMR	3 years
Internal Audit Report (EF-EP09-03)	EMR	3 years

8.0 Appendix

Appendix 1: **Audit Plan (EF-EP09-01)**

Appendix 2: **Audit Checklist (EF-EP09-02)**

Appendix 3: **Internal Audit Report (EF-EP09-03)**



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Audit Location: _____ **DATE OF AUDIT :** _____

Auditee(s) : _____ **Auditor(s) :** _____

Reference Documents: _____ **Reference ISO 14001 clause :** _____

Item	Description	Results			
		OK	NC	N/A	Remarks
O.K. = Meets Requirement		NC = Nonconformity / Need Improvement		N/A=Not applicable	

Findings :



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DOCUMENT NUMBER : _____ REPORT DATE : _____

Prepared by : _____

1. Background :	<i>(Audit objectives and scope)</i>
2. Audit Planning :	<i>(Audit schedule, Audit team members)</i>
3. Audit Results :	<i>(summarize the audit findings, total number of CAR issued and descriptions of NC)</i>
4. Recommendations / Comments :	<i>(results analysis, strength and weakness identified and improvement measures recommended)</i>