1.0 Purpose
This procedure provides guidance on establishing and conducting periodic DPPEA environmental management system (EMS) audits to determine if the EMS conforms to planned arrangements and has been properly implemented and maintained. This procedure addresses providing information on the audit results to DPPEA management.

2.0 Associated Documents:
2.1 DPPEA SOP 4.4.6 - Work Instruction DPPEA Internal EMS Audit 4.4.6-IA
2.2 ISO 14001 Standard
2.3 DPPEA Environmental Policy
2.4 DPPEA SOP 4.4.1 - Structure and Responsibility
2.5 DPPEA SOP 4.4.2 - Training Awareness and Competence
2.6 DPPEA SOP 4.4.3 - Communication
2.7 DPPEA SOP 4.5.2 - Non-Conformance and Corrective Action
2.8 DPPEA SOP 4.5.3 - Records Management
2.9 DPPEA SOP 4.6 - Management Review

3.0 Responsibilities
By the end of the first quarter of every year, the division director will determine the timing and scope of an EMS audit, conducted at least once a year. Division section managers will coordinate auditing efforts. DPPEA EMS Management Team (MT) will conduct routine audits of the EMS, to ensure the EMS is meeting its suitability, adequacy and effectiveness. The division director may require additional EMS audits during the year, including partial audits. The division director may determine if external auditors will conduct an EMS audit.

It is the responsibility of DPPEA’s MT to provide overall direction and support for an EMS audit. The MT is a cross-functional group comprised of representatives from management, industrial and commercial assistance sections, public information and administration. The team may involve other DPPEA staff to assist with EMS audits, design, corrective action implementation, maintenance and follow-up as needed.

4.0 Procedure
4.1 The DPPEA EMS MT will conduct routine audits and shall ensure that EMS audits are conducted at least once a year, to verify that the system is working as planned and is facilitating achievement of the environmental objectives and targets.

4.2 DPPEA EMS audit schedule:
4.2.1 A DPPEA EMS audit will be conducted at least once a year, unless otherwise determined by the Division Director.
4.2.2 During the first quarter of each year, the division director will determine the timing and scope of the EMS audit. The division director may require additional EMS audits during the year, including partial audits. The division director may determine if external auditors will conduct an EMS audit.
4.2.3 The MT may divide audits into activities in accordance with the DPPEA SOP 4.3.1 Aspects – Aspects and Impacts table 4.3.1-1. These aspects and impacts are based upon the daily activities of the division and do not reflect those activities of DPPEA’s clients and/or service providers. The activities listed below will be evaluated annually and in accordance with the annual review. Activities may be deleted or added.

- Meetings/Events
- Staff Travel
- Purchasing/Leasing
- Publications
- Copiers/Fax/Printers
- Office Recycling
- Food Storage, Preparation & Waste
- Catastrophic Events
- Web site
- Computers/LAN
- A/V Equipment
- Phone Duty
- Databases
- Building/Office Use

4.3 DPPEA EMS Auditors:
4.3.1 The EMS Audit Team is composed of the DPPEA MT and/or anyone appointed by division management.
4.3.2 At least two members of the audit team will conduct each audit.
4.3.3 No auditor shall conduct an audit of his/her own working area.
4.3.4 All internal EMS auditors must have either received training from an outside EMS auditing training course or have been trained on the EMS Auditing Procedure and ISO 14001 Standard, or observed at least one internal audit and audited under the guidance of a previously qualified auditor. Prior to auditing without guidance, new auditors must have been deemed sufficiently trained and able to perform audits by the division director. This training and determination must be documented.

4.4 DPPEA EMS Pre-audit Meeting:
4.4.1 Prior to an on-site audit, the auditors are to obtain copies of all documented procedures, training records or other material relevant to the audit, and arrange pre-audit meeting with the appropriate section manager(s).
4.4.2 Auditors will review documentation for the division section(s) being audited, past audits and will devise a plan for performing the audit.
4.4.3 During the pre-audit meeting the auditors and supervisor will arrange dates and times for the audit and discuss what will be covered in the audit.

4.5 DPPEA EMS Site Audit:
4.5.1 Auditors will conduct the EMS audits using the ‘DPPEA SOP 4.4.6 - Work Instruction DPPEA Internal EMS Audit 4.4.6-IA’ as a guide. Compliance with each section of the standard will be evaluated.
4.5.2 Auditors will record audit findings as instructed by the Division Director and/or the DPPEA EMS Management Team.

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4.6 DPPEA EMS Audit Write-up:
   4.6.1 Each member of an audit team will meet once they have each completed
assigned audit task to compile all notes and complete an audit report.
   4.6.2 The audit report will consist of a narrative of the state of each
activity or section in the EMS for the audited area and a listing of
findings and observations.
   4.6.3 For audit purposes, “Findings” are instances of nonconformance
with the ISO standard. “Observations” are weaknesses in the
program that are not in nonconformance with the standard.
   4.6.4 The audit program is designed to evaluate the EMS program, not to place
blame on people. To this end, individuals' names should not be used in
the report; they should be referred to by position or other description.
   4.6.5 The EMS Auditor Team will meet with the section manager(s) to hand
over the audit report and answer any questions at that time.

4.7 DPPEA EMS Audit Response:
   4.7.1 The section manager(s) will review audit findings.
   4.7.2 The section manager(s) will develop corrective action or rebuttal to the
findings in the audit report and any comments they wish to address.
   4.7.3 The section manager(s) response actions shall begin implementation
within one month, unless circumstances specified in writing prevent such
response.

4.8 DPPEA EMS Follow Up:
   4.8.1 At least one of the internal auditors will follow up on the audit to verify that
corrective action has been taken and that each finding in the report was
appropriately addressed.
   4.8.2 The auditor will document whether all response actions have been
implemented and if they are sufficient to correct the finding. A description
will be written of any actions that are not implemented or insufficient.
   4.8.3 The internal auditor will make sure that all findings not corrected have
been referred to the formal corrective action review system.

4.9 DPPEA EMS Audit Records:
   4.9.1 Auditors will assure that Division Director approved reports are collected
and filed in the EMS files.
   4.9.2 Contents of the audit reports shall be made available to all employees on
the DPPEA intranet system. Management shall be notified when audit
reports are available electronically.
   4.9.3 Records shall be retained in accordance with the DPPEA Standard
Operating Procedure: 4.5.3 “Records Management.”

5.0 Report to Management
   The MT will summarize and present the results of the EMS audits to management, in
accordance with the timing and scope determined by the division director.

6.0 Deviations from this procedure must be documented by completing a Corrective/
Preventive Action Report (EMS 4.5.2 CPAR).