

Joint Base Lewis-McChord (JBLM)		
Procedure: Internal Audit		
Document ID: EMS-260		
Document Owner: John Radzyninski	Approval: Paul T. Steucke Jr.	Revision: 4 Revision Date: 2 July 2013
JBLM EMS Coordinator	Environmental Division Chief	Original Date: 11 July 2003

PURPOSE

The purpose of this procedure is to provide the method for planning, performing, and reporting internal audits to verify whether the environmental activities of JBLM and related results conform with the requirements of the Environmental Management System (EMS) elements audited.

APPLICABILITY

All JBLM organizations, particularly those with divisions, branches, shops or facilities whose activities have the potential for creating significant environmental impacts, will be internally audited and evaluated. Personnel conducting audits of the EMS elements will be qualified and independent of those having direct responsibilities for the specific areas being audited.

Note: DOL is authorized to use the audit procedures IAW ISO 9001-2008 which adequately address' the ISO 14001 Standard elements.

Note: Organizations of other Commands or Agencies subject to audits of their management system by their higher headquarters may use the audit for an internal audit provided the audit adequately addresses the ISO 14001 Standard elements.

DEFINITIONS

EMS Audit — A systematic, documented and independent examination to objectively obtain and evaluate evidence to determine whether an organization's EMS conforms to the EMS audit criteria set by the organization, and to communicate the results of this process to management.

EMS Management Director — An individual appointed by the Joint Base Commander (JBC) who, irrespective of other duties, has authority and responsibility for the operation of the JBLM Environmental Management System (EMS).

EMS Coordinator – An individual assigned by the Environmental Division Chief to organize and coordinate the JBLM effort towards maintaining conformance with EMS requirements.

EMS Management Representative — An individual appointed by a JBLM Organization Chief who, irrespective of other duties, has authority and responsibility for the operation of the organizations Environmental Management System (EMS).

Finding — A nonfulfillment of a specified requirement of the EMS standards and/or PW procedure supported by objective evidence.

Internal Audit – An EMS Audit of a JBLM Organization conducted by internal auditors from the organization being audited.

Internal Auditor — Person in a JBLM Organization who has successfully completed an internal auditor course and is approved by the organization EMS Management Representative to conduct internal audits of JBLM Organizations. The JBLM internal auditor roster is maintained by the Organization EMS Representative..

Internal Audit Team — Members of the JBLM internal auditor roster coordinated for by the EMS t Coordinator to conduct an internal audit.

Installation Sustainability/Environmental Management System-Management Review Board (IS/EMS-MRB) –A board established to meet Army regulatory requirements for an EQCC and the EMS. Topics covered address common regulatory requirements.

Audit Team Lead — An internal auditor selected by the EMS Management Director/ Representative to assist in the conduct of organizational audits. The audit team lead coordinates and actively monitors the conduct of the audit, and insures that post-audit PCARs and audit summary reports are prepared and submitted to the appropriate EMS Management Director/ Representative.

Objective Evidence — Information which can be proved true, based on facts obtained through observation, measurement, test or other means.

Observation — An undesirable practice that cannot be directly referenced as a requirement of the standard and/or organization procedures but if left unchecked could lead to a finding of nonconformance.

Preventive/Corrective Action Request (PCAR) — A form used to initiate a request to address an existing or potential undesirable situation, nonconformity, or other unsatisfactory condition.

Surveillance Audit – An EMS Audit of a JBLM Organization conducted by internal auditors from another JBLM Organizations.

SUPPORTING DOCUMENTS

<u>Document ID</u>	<u>Title</u>
ISO 14001 : 2004	Environmental Management Systems – Specification with Guidance for Use
ISO 14004 : 1996	Environmental Management Systems – General Guidelines on Principles, Systems and Support Techniques
ISO 19011 : 2002	Guidelines for Quality and/or Environmental Management Systems Auditing
EMS-100	Environmental Management Manual

EMS-240	Document Control
EMS-255	Preventive and Corrective Action
EMS-265	Environmental Records
EMS-270	Environmental Management Review

PROCESS

Responsible		Action
EMS Director/ Coordinator	1	Conduct an Internal/Surveillance audit of the JBLM EMS annually.
	2	Maintain a current audit checklist.
	3	Prepare and maintain a schedule for EMS Internal/Surveillance Audits of JBLM Organizations.
	4	Coordinate with organization EMS Management Representative to identify the audit team members required to conduct the Audit.
	5	Forward audit summary reports to the Organization Chief being audited.
	6	Retain audit records in accordance with <u>JBLM Procedure EMS-265</u> , Environmental Records.
	7	Provide audit summary results and applicable PCAR status information for the IS/EMS-MRB as needed.

Responsible		Action
Organization EMS Management Representative	1	Maintain the roster of organization EMS auditors.
	2	Maintain a current audit checklist.
	3	Provide personnel to attend scheduled internal auditor training to insure an adequate roster of internal auditors.
	4	Provide auditors to the installation as tasked to assist in conducting the installation EMS audit.
	5	As required/applicable conduct checks to verify environmental requirements are being met. <i>(Note: Recycling surveys, Energy checklists, Hazardous Material/Waste inspections/inventories are examples of requirements to check. Audits, inspections and/or assessments conducted by organizations outside your organization which address EMS requirements can be applied to this requirement.</i>
	6	Maintain a record of the check with findings in accordance with JBLM Procedure EMS-265 , Environmental Records.. Provide a copy of the findings to the Section Chief.
	7	Take action on PCARs resulting from checks, audits and assessments per JBLM Procedure EMS-255 , Preventive and Corrective Action.
	8	Provide summary results and applicable PCAR status information to the Director or Organizational Chief.
Installation EMS Coordinator	1	As the audit team lead, establish activities to be audited, organizations assigned to provide auditors, provide checklists, and develop guidance pertinent to the audit.

Responsible		Action
Installation EMS Coordinator (cont.)	2	Coordinate with organizations to provide auditors for the installation audit. <i>(Note: Individuals will not audit the activity where they work).</i>
	3	Meet with the audit team members prior to the audit to clarify audit assignments and requirements, provide audit checklists, and other pertinent information. Document the meeting agenda.
	4	Meet periodically with the team members as needed during the audit to discuss audit progress, review emerging results, and resolve audit issues.
	5	Upon completion of the audit: a. Hold a closeout meeting with audit team members as needed. Document the meeting agenda. b. Collect completed auditor checklists and working papers (Appendix 1). c. Discuss proposed PCARs resulting from the audit with audit team members and approve PCARs to be entered by the audit teams into the PCAR system. d. Prepare and submit a draft electronic copy of the audit report, using the format at Appendix 2 to the Organization EMS Management Representative. e. Receive and consider input from the organization. f. Finalize the audit report and submit through leadership chain
	6	Coordinate/Conduct Internal Auditor Training as needed.

Responsible		Action
Surveillance/Internal Audit Team Members	1	Coordinate with the supervisor of the organization/activity assigned for the specific dates and times to perform the audit.
	2	Review procedures, work instructions, prior audit findings, associated PCARs and other documents as applicable to the audit scope.
	3	Prepare audit work papers (annotated procedures and/or work instructions) and an audit checklist. <i>(Note: The checklist and applicable documentation serves as a guide and assures depth and continuity of the audit).</i>
	4	Conduct the audit and document the findings and observations on the audit checklist. <i>Note: The following guidelines are used:</i> <i>a) Objective evidence is examined to determine conformance with applicable elements audited.</i> <i>b) Each element examined is audited in sufficient depth to determine conformance.</i>
	5	Upon completing the audit, conduct a closing meeting with the supervisor of the audited activity as pertinent to summarize potential findings and observations, both positive and negative.
	6	For each activity audited, submit the following electronically to the audit team lead, except for any hand written notes or other documents that are in hard copy only: <ul style="list-style-type: none"> • Completed audit checklists and working papers • Draft audit summary reports, including proposed PCARs and observations, using the form at Appendix 1
	7	When approved by the audit team lead, input any PCARs resulting from the audit, per JBLM Procedure EMS-255 , Preventive and Corrective Action.

Responsible		Action
Organization Chief and Supervisor of the Activity being Audited	1	Make applicable personnel and records available during the scheduled locations, dates, and times coordinated for the audit.
	2	Assure that the pertinent process owners take action on PCARs resulting from internal audits, in accordance with JBLM Procedure EMS-255 , Preventive and Corrective Action.
		<i>End of activity</i>

DOCUMENT REVISION HISTORY

Original Document Issue Date: 11 July 2003		
REVISION NUMBER	DATE OF REVISION	REVISION SUMMARY
1	8 February 2005	Added entries in Supporting Documents. Revised the frequency of organizational internal audits to at least annually and surveillance audits to at least every three years for each organization.
2	22 June 2007	Updated Owner, Approval Authority and Current Copy location.
3	18 April 2012	Updated header with ED approving authority. Expanded definitions. Updated terminology. Updated procedures reflecting audit leader and requirements for JBLM audit.
4	2 July 2013	Updated header and terminology. Added definitions. Clarified duties to reflect current procedures.

ISO Standard No. and Title	Finding Summarize what you saw. Indicate Positive, Negative: Minor/Major or Observation)	Evidence (Describe what you observed and/or heard. How you determined the finding)	Who and Where (Interviewed and Section)	Previous PCAR (Y or N)

**(ORGANIZATION)
JBLM, WA**

ISO 14001 Internal Audit

AUDIT REPORT

Dates of Audit:

Standard Against Which Audited: ISO 14001: 2004

Activities Audited:

Objective: To assess conformance of the selected activities to the ISO 14001 Standard for the pertinent EMS elements.

Scope and Assessment Technology: The activities were audited to pertinent elements of the ISO Standard. Methodology consisted of interviews by the audit team with pertinent supervisors and employees at their workplace.

Audit Results:

Positive Achievements:

- *(use as many bullets as needed)*

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Summary of Findings: (Major, Minor and Observations)

- *(use as many bullets as needed)*

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Status of Outstanding PCARs for the Activities Audited: *(if any)*

- *(use as many bullets as needed)*

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