

# **EHQMS Procedure**

Internal Auditing



### Table of Contents

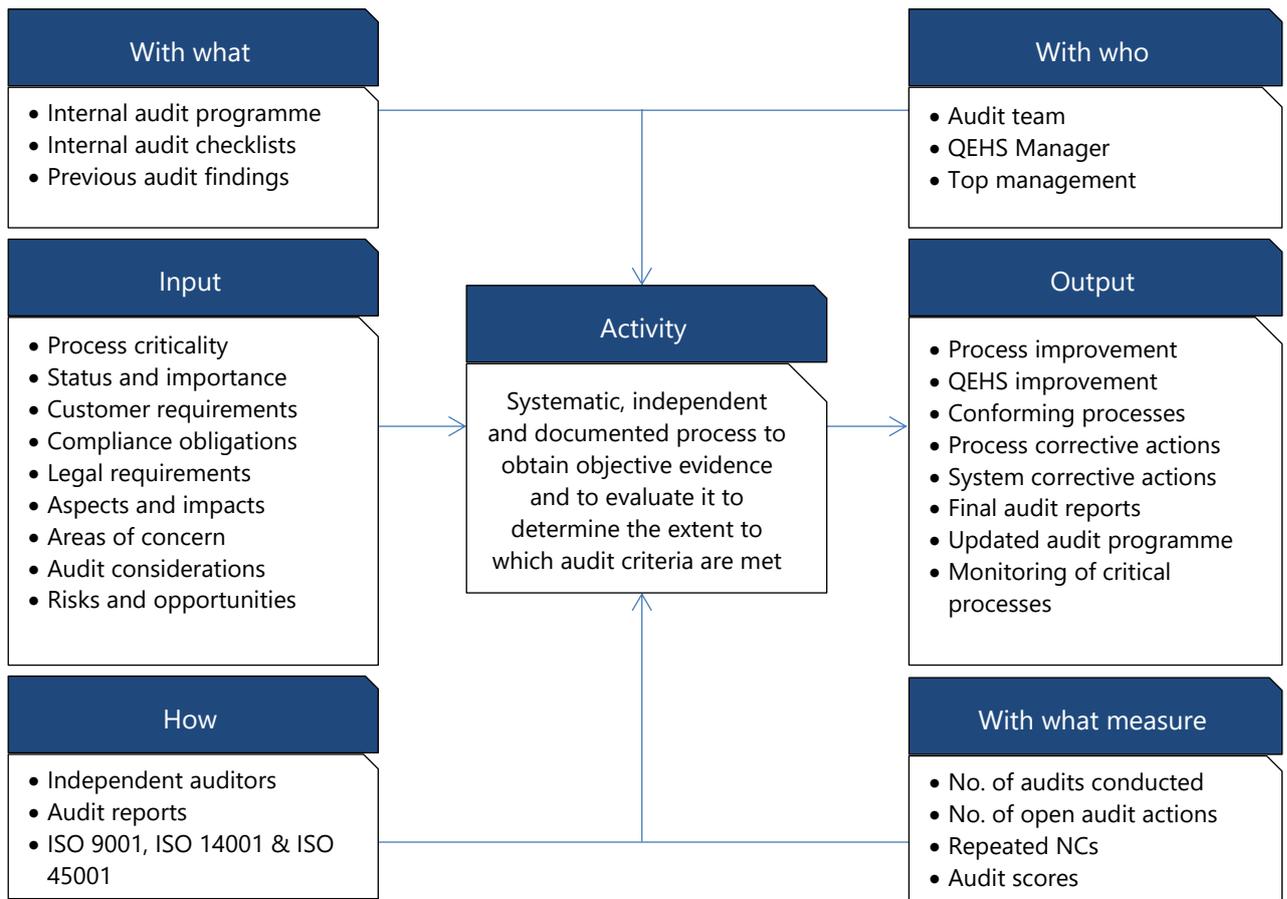
- 1 INTERNAL AUDITS ..... 3**
- 1.1 INTRODUCTION & PURPOSE ..... 3**
- 1.1.1 Process Turtle Diagram ..... 3
- 1.1.2 References ..... 3
- 1.1.3 Terms & Definitions ..... 3
- 1.2 APPLICATION & SCOPE ..... 4**
- 1.3 SELECTING INTERNAL AUDITORS ..... 4**
- 1.4 INTERNAL AUDIT PROGRAMME ..... 4**
- 1.4.1 Long-range Audit Programme ..... 4
- 1.4.2 Short-range Audit Programme ..... 4
- 1.4.3 Reporting Progress ..... 4
- 1.5 INTERNAL AUDIT CHECKLISTS ..... 4**
- 1.5.1 Integrated Audit Checklist ..... 4
- 1.5.2 Process Audits ..... 5
- 1.5.3 Supplier Audits ..... 6
- 1.5.4 Legislation Audits ..... 6
- 1.6 CORRECTIVE ACTION ..... 6**
- 1.7 FORMS & RECORDS ..... 7**
- 1.8 INTERNAL AUDIT PROCESS MAP ..... 8**

# 1 Internal Audits

## 1.1 Introduction & Purpose

The purpose of this procedure is to define **your organization's** process for undertaking internal audits, process audits, and supplier and legislation audits in order to assess the effectiveness of the application of our QEHS management system and its compliance to ISO 9001:2015, ISO 14001:2015 and ISO 45001:2018. This procedure also defines the process for programming and conducting internal audits, reporting results and retaining associated records.

### 1.1.1 Process Turtle Diagram



### 1.1.2 References

Standard	Title	ISO Clauses	Manual Sections
BS EN ISO 9001:2015	Quality management systems	9.2	9.2
BS EN ISO 14001:2015	Environmental management systems	9.2	9.2
BS EN ISO 45001:2018	OH&S management systems	9.2	9.2

### 1.1.3 Terms & Definitions

Term	Definition
Audit	A documented process for obtaining and evaluating evidence
Conformity	Fulfilment of a requirement (3.6.4)
Corrective action	Action to eliminate the cause of a non-conformity (3.6.9) and to prevent recurrence

## 1.2 Application & Scope

The scope of this procedure is focused on assessing the effectiveness of [your organization's](#) integrated management system. By applying the principles of auditing, outlined by ISO 19011:2011, [your organization](#) ensures that all internal audits are conducted with due professional care, integrity and independence. All conclusions derived from the audit are based upon objective and traceable evidence.

## 1.3 Selecting Internal Auditors

To ensure impartiality and objectivity, the audit team will include personnel from departments not directly associated with the area, process or department being audited. The [Internal Auditors](#) are selected on the basis of their:

1. Impartiality;
2. Education: secondary or higher;
3. Work Experience: more than 5 years;
4. Relevant Training: provided in-house or externally;
5. Audit Experience: demonstrable knowledge/skills.

All internal auditors have undergone training and their competency has been assessed and recorded. All internal auditors are regularly trained and further qualified as required. It is intended that the audit team is made up of employees from different areas of the business.

## 1.4 Internal Audit Programme

### 1.4.1 Long-range Audit Programme

Using the [Internal Audit Programme](#), the [QEHS Manager](#) ensures that the 'process names' identified in the [Process Matrix & Application](#) form are copied into the internal audit programme. In conjunction with [Top management](#), the [QEHS Manager](#) devise the 10-year internal audit programme.

The frequency of audits depends on the criticality of each process and the perceived need to audit, but all processes and areas are audited at least once every two years. Critical processes generally interact with the customer directly and are therefore audited annually, or more regularly as required.

### 1.4.2 Short-range Audit Programme

The [QEHS Manager](#) then develops the 2-year internal audit programme with specific dates and durations of each **planned** audit. [Top management](#) review and approve the internal audit programme and communicate it to all [Process Owners](#). All internal and external non-conformances that are attributable to system or process failures may result in the audit programme being updated to include **additional** audits in the area concerned.

### 1.4.3 Reporting Progress

The [QEHS Manager](#) compiles audit progress summaries (planned versus achieved) for [quarterly](#) QEHS reports and a full audit summary report for [Top management](#), as part of the management review process.

## 1.5 Internal Audit Checklists

### 1.5.1 Integrated Audit Checklist

Using the [Integrated Audit Checklist](#), the [QEHS Manager](#) undertakes a clause-by-clause audit when preparing for **implementation**, **gap analysis** or **certification audits**. Each audit question in the checklist phrases the ISO

actions are completed. A member of the audit team will then sign off the audit report. An audit summary is prepared for management review.

All internal audit results and any corrective actions are discussed at management review meetings to evaluate their effectiveness and implementation. Following implementation, the audit programme is systematically reviewed in order to assess the effectiveness of the audit programme and whether to modify it, where required, for continued implementation.

Where the assessment of the effectiveness of the *Internal Audit Programme* reveals deficiencies, corrective action may include modifying future audit programmes or the performance of additional audits to ensure compliance.

### 1.7 Forms & Records

All documentation and records generated by the internal audit process are retained and managed in accordance with the *Documented Information Procedure*.

Title & Description
Internal Audit Report
Process Audit Report
Audit Feedback Form
Supplier Audit Checklist
Integrated Audit Checklist
Internal Audit Programme
Process Matrix & Application