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TITLE: COFL-FF-EP-4.5.5-1 Internal Audit Procedure

Person responsible:	Internal Self-Audit Team Leader	
Area of application:	Fleet Fenceline	
Document location:	www.fortlauderdale.gov/ESMS	
Revisions		
Rev. No.	Date	Description
001	1/19/16	Revised the Audit schedule from a 3 year layout (A, B, C forms) to two years (A, B forms).

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1.0 Purpose

- 1.1 The purpose of this procedure is to define the planning and implementation of internal self-audits and the follow up of nonconformance using corrective and / or preventive actions for the City of Fort Lauderdale Fleet Fenceline.
- 1.2 To determine whether the ESMS and operations of the City of Fort Lauderdale conform to the ISO 14001:2004 standard, the ESMS policy, ESMS procedures, and the legal and other requirements.
- 1.3 **Internal Self-Auditing** or management system audits are clearly different than **Compliance Evaluations** (or Compliance Auditing.) Refer to **COFL-FF-EP 4.5.5.2-1 Evaluation of Compliance Procedure** for further details.

2.0 Scope

- 2.1 This procedure is responsive to element 4.5.5, Internal Audit, of the ISO 14001:2004 standard and covers operations of the Fleet Fenceline.
- 2.2 The scope of this procedure addresses setting ESMS audit criteria and establishing a process to obtain, evaluate and communicate objective evidence required to determine conformance to the ISO 14001:2004 standard.

3.0 Responsibility

- 3.1 The **Internal Self-Audit Team Leader** will coordinate the implementation of an Internal Self-Audit on an annual basis, at a minimum. Elements of the ESMS (or ISO 14001:2004 standard) will be included in the audit scope. The audit schedule will include an annual review of all elements based on the environmental importance of the activity concerned and the results of previous audits.
- 3.2 The **Management Representative** is responsible for appointing the **Internal Self-Audit Team Leader**, and providing the appropriate training necessary for Internal Self-Audit.
- 3.3 Upon completion of the audit, the **Internal Self-Audit Team** or third-party auditor, will review any findings with the **FF Team** from the area being audited, if warranted. They will document corrective and preventive actions on the appropriate forms and develop the necessary implementation schedules.
- 3.4 The **Internal Self-Audit Team** members or third-party auditors conducting the audits will have no responsibility for the area or activity being audited.
- 3.5 Documentation from the Internal Self-Audit will be maintained as records by the **ESMS Coordinator**.

4.0 Definitions

- 4.1 Refer to **COFL-FF-4.4.4-2 Related Definitions Procedure**



5.0 Process

- 5.1 The **Internal Self-Audit Team** will be appointed by the **Management Representative** and can be comprised of any of the following: **FF Team**, individuals from other department areas, members appointed by **Management Representative**, and / or, third parties.
 - 5.1.1 The **Internal Self-Audit Team** members will have received Internal Self-Auditor training. The **Internal Self-Audit Team** members will carry out audits and report the results to the **FF Team**.
- 5.2 The intention or notification to perform an Internal Self-Audit is coordinated and communicated by the **Management Representative** to the Fleet Fenceline's affected departments. This may be accomplished by use of **COFL-FF-EP 4.5.5-3 A, and B Internal Self-Audit Schedule(s)** and can be sent electronically as an e-mail attachment.
- 5.3 The Fleet Fenceline's area audited against the ESMS requirements.
- 5.4 Based on environmental importance, an audit of the ESMS will be conducted at least once per year or as provided with the audit schedule. Areas of concern from previous audits (e.g. major nonconformance findings) will be documented and routinely audited.
 - 5.4.1 If nonconformance continues to occur in specific areas, then the frequency of auditing will be increased for those areas, as determined by the **Management Representative**.
- 5.5 Prior to the initiation of the Internal Self-Audit, the **Internal Self-Audit Team** will offer to conduct a brief opening meeting with individuals from the affected Fleet Fenceline's areas. The agenda may include:
 - 5.5.1 Introduction of the **Internal Self-Audit Team**;
 - 5.5.2 Review of audit purpose, objectives and scope;
 - 5.5.3 Review of audit frequency;
 - 5.5.4 Confirm time and location of closing debriefing(s);
 - 5.5.5 Discussion of final audit report submittal and corrective action process;
 - 5.5.6 Questions and answers.
- 5.6 The **Internal Self-Audit Team** or third-party auditor is provided a checklist, **COFL-FF-EP 4.5.5-2 Internal Self-Audit Checklist**, which will assist in the basis of the audit. These checklists will be relevant to the Fleet Fenceline's operations. The **Internal Self-Audit Team** may review and amend the audit questions as necessary. The **Internal Self-Audit Team** or third-party auditor may also use other types of appropriate auditing documentation or an equivalent checklist.
- 5.7 During the Internal Self-Audit, the **Internal Self-Audit Team** will record audit observations on the checklists and other designated working papers only. These documents will be returned at the end of the audit and become records of the audit observations. This objective evidence will provide enough information to document the essence of the activities products or services reviewed.



- 5.8 Nonconformance findings requiring corrective action are documented on **COFL-FF-EP 4.5.3-2 Corrective Action Request (CAR)**. The CARs will be compiled into a list and documented on **COFL-FF-EP 4.5.3-4 Corrective Action Log / Report**. These forms will be used, as appropriate, and follow the **COFL-FF-EP 4.5.3-1 Nonconformity, Corrective and Preventive Action Procedure**.
 - 5.8.1 The **Internal Self-Audit Team** or third-party auditor will evaluate Corrective Actions Requests (CARs) for completion and effectiveness. The timing of the evaluation will reflect the significance of the issue.
- 5.9 Observations and recommendations for improvement are documented on checklists, CARs and / or other appropriate documentation.
 - 5.9.1 **COFL-FF-EP 4.5.3-3 Preventive Action Proposal (PAP)**, may be issued to the area in order to prevent a nonconformance from occurring.
- 5.10 The **Internal Self-Audit Team** or third-party auditor will present the relevant Corrective Action Requests (CARs) and Preventive Action Proposals (PAPs) to the **Area Supervisor** responsible for the area of the nonconformance. A copy of the documents will be kept and forwarded to the **ESMS Coordinator** with the checklists and other appropriate documentation at the end of the audit.
 - 5.10.1 Nonconformance items documented by the **Internal Self-Audit Team** or third-party auditor during the Internal Self-Audit are to receive timely and thorough corrective and preventive actions, as appropriate by the management of the area responsible, per the **COFL-FF-EP 4.5.3-1 Nonconformity, Corrective and Preventive Action Procedure**.
- 5.11 Upon the close of the audit, a member of the **Internal Self-Audit Team** or third-party auditor will conduct a closing conference to present a verbal summary of the Internal Self-Audit findings to the relevant personnel. This meeting's agenda may include:
 - 5.11.1 Brief review of audit objective and scope;
 - 5.11.2 Summary of nonconformance findings;
 - 5.11.3 Discussion of the program to address nonconformance;
 - 5.11.4 Confirm milestone dates for corrective action;
 - 5.11.5 Discussion of final audit report submittal;
 - 5.11.6 Questions and answers.
- 5.12 Results of the Internal Self-Audits are formally communicated to the **Management Representative** on an annual basis during the Management Review Meeting as per the **COFL-FF-EP 4.6-1 Management Review Procedure**.

6.0 References / Related Documents

- 6.1 COFL-FF-EP 4.5.5-3A Internal Self-Audit Schedule Sept 2015-Aug 2016
- 6.2 COFL-FF-EP 4.5.5-3B Internal Self-Audit Schedule Sept 2016-Aug 2017

- 6.3 COFL-FF-EP 4.5.5-2 Internal Self-Audit Checklist



- 6.4 COFL-FF-EP 4.5.3-2 Corrective Action Request (CAR)
- 6.5 COFL-FF-EP 4.5.3-4 Corrective Action Log / Report
- 6.6 COFL-FF-EP 4.5.3-3 Preventive Action Proposal (PAP)
- 6.7 COFL-FF-EP 4.5.3-1 Nonconformity, Corrective and Preventive Action Procedure
- 6.8 COFL-FF-EP 4.6-1 Management Review Procedure
- 6.9 COFL-FF-ED-4.5.5-4 Internal Audit Annual Review Maintenance