



EMS Internal Audit

Department:	Section:
Company if BP:	
Date:	Audit No.:
Auditors:	Auditees:

AUDIT OBJECTIVES			Highlight & Check (✓) each element completed
4	Context of the organisation		
5	Leadership		
	5,1	Leadership and commitment	
	5,2	Environmental Policy	
	5,3	Organisations roles and responsibilities and authorities	
6	Planning		
	6,1	Actions to address risks and opportunities	
	6,2	Environmental objectives	
7	Support		
	7,1	Resources	
	7,2	Competence	
	7,3	Awareness	
	7,4	Communication	
	7,5	Documented Information	
8	Operation		
	8,1	Operational planning and control	
	8,2	Emergency preparedness and response	
9	Performance evaluation		
	9,1	Monitoring, measurement analysis and evaluation	
	9,2	Internal audit	
10	Improvement		
	10,1	General	
	10,2	Nonconformity and corrective action	

X = Non-conformance	CON = Conformance	NA = Not audited	NX = Not applicable to the	? = Status could not be established at the time of the audit
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4. Context of the Organisation			
4.1 Understanding the organization and its context 4.2 Understanding the needs and expectations of interested parties 4.3 Determining the scope of the environmental management system 4.4 Environmental Management System			
KEY QUESTION	Finding	Notes	Finding Ref.
Does the section know what the Environmental Management System is (EMS)?			
Has the section read through and internally discussed the EMS manual ?			
Does the Section have an Environmental Green File (or soft copy) of the EMS?			
AUDITOR'S NOTES			

5. Leadership			
5.1 Leadership and commitment			
5.1 Top management shall demonstrate leadership and commitment with respect to the environmental management system.			
KEY QUESTION	Finding	Notes	Finding Ref.
Have the resources needed for the effective EMS been made available?			
Have arrangements been made that top management communicate the importance of effective environmental management ?			
Have arrangements been made to ensure that management direct persons to contribute to the effectiveness of the environmental management system ?			
AUDITOR'S NOTES			
5.2 Environmental Policy			

Top management shall establish, implement and maintain an environmental policy that within the defined scope of it's environmental management system			
KEY QUESTION	Finding	Notes	Finding Ref.
Is the environmental policy used the most updated one?			
Is the environmental policy visible to visitors visiting the site? (Can they access the notice board?)			
AUDITOR'S NOTES			
5.3 Organisational roles, Responsibilities and Authorities			
Top management shall ensure that the responsibilities and authorities for relevant roles are assigned and communicated with the organisation.			
KEY QUESTION	Finding	Notes	Finding Ref.
Who is the EMS Representative and the alternative EMS Representative?			
Who is the SHE Representative and the alternative SHE Representative?			
When last did the EMS Member & SHE Rep attend EMS training?			
AUDITOR'S NOTES			

6. Planning			
6.1 Actions to address risks and opportunities			
6.1.1 General; 6.1.2 Significant environmental aspects; 6.1.3 Compliance obligations;			
KEY QUESTION	Finding	Notes	Finding Ref.
Does the section have the latest Mine Wide Aspect Register on site?			
When last was the Risk and Opportunity assessment been done/updated?			
Have arrangements been made to determine potential emergency situations including those that have an environmental impact within the scope of the EMS?			
Have arrangements been made to reduce/prevent undesired effects , including the potential for external environmental conditions to affect the organisation?			
Does the section know & understand its main areas, activities, products and services as described in the mine wide aspect register? (can describe them)			
Does the section know its significant aspects? (highest risk items)			
Has the section identified its main areas, activities, products and services that could have an impact on the environment in doing risk assessments?			
Does the section have a copy of the last legal audit that was conducted and there obligations towards compliance?			
Does the section know what permit requirements is applicable to them specifically (air emissions, water releases, hazardous material storage and/or new developments)?			
AUDITOR'S NOTES			
6.2 Environmental Objectives and Planning to achieve them			
6.2.1 Environmental Objectives; 6.2.2 planning actions to achieve environmental objectives;			
KEY QUESTION	Finding	Notes	Finding Ref.
Is the section environmental objectives up to date?			
AUDITOR'S NOTES			

7. Support			
7.1 Resources			
The organisation shall determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the EMS.			
KEY QUESTION	Finding	Notes	Finding Ref.
Are significant aspects managed? (additional control measures identified and risk assessment sheet updated)			
AUDITOR'S NOTES			
Significant aspects are partially addressed and other aspects are being looked at. Significant upgrades are needed to the drains and trenches as well as the waste oil storage.			
7.2 Competence			
KEY QUESTION	Finding	Notes	Finding Ref.

Have the section determined the necessary competence of persons doing work under its control that affects its Environmental Performance and its ability to fulfil compliance obligations?			
Has the section identified environmental training / communication needs? (minutes, register)			
Have all the significant aspects, as in the aspect register been addressed through communication and/or training? How many is outstanding?			
Are the training needs being addressed?			
NOTE: Applicable actions can include, for example, the provision of training to, the mentoring of, or the re-assignment of currently employed persons; or the hiring of contracting of competent persons.			
AUDITOR'S NOTES			
7.3 Awareness			
the Organisation shall ensure that persons doing work under its control are aware of: policy significant aspects contribution to effectiveness of the EMS implications of not conforming with EMS			
KEY QUESTION	Finding	Notes	Finding Ref.
Have arrangements been made to ensure that persons doing work under the organisation's control are aware of:			
Does the section include site specific environmental issues in its site induction?			
Has the section made sure Business Partners know about the environmental policy (meetings, issuing, putting on notice boards, induction)?			
AUDITOR'S NOTES			
Communication with BP is done can improve with a talk about their influence on the company and section when they don't comply as well as the fact that they can be help accountable.			
7.4 Communication			
7,4,1 General 7,4,2 Internal communication 7,4,3 External Communication			
KEY QUESTION	Finding	Notes	Finding Ref.
Is internally communication, relevant to the EMS discussed in meetings?			
Does communication enable persons doing work under the organisation's control to contribute to continual improvement?			
Does the section notify other sections/contractors of where they see possible environmental impacts, issues arising? When, Where and to Whom? (incidents)			
AUDITOR'S NOTES			
7.5 Documented information			
7,5,1 General 7,5,2 Creating and Updating 7,5,3 Control of Documentation			
KEY QUESTION	Finding	Notes	Finding Ref.
Has the section checked that the right kinds of procedures is in the green file? (not just mine wide ones)			
Are risk assessments of new activities or change management being done and in the green file?			
Could any obsolete documents be found in use by the section?			
Is all documented information: a) legible? b) dated (with dates of revision) and readily identifiable? c) maintained in an orderly manner?			
AUDITOR'S NOTES			
8. Operation			
8.1 Operational planning control			
the organisation shall established, implement, control and maintain the processes needed to meet EMS requirements, and to implement the actions identifies in 6,1 and 6,2 by - establishing operating criteria for the processes - implementing controlee of the processes, in accordance with the operating criteria. the organisation shall control planned changes and review the consequence of unintended changes, taking action to mitigate any adverse effects, as necessary.			
KEY QUESTION	Finding	Notes	Finding Ref.
Have arrangements been made to implement the actions identified in 6.1 and 6.2 by: - establishing operating criteria for the process (as)? - implementing control of the process (as), in accordance with the operating criteria?			
Identify the equipment used to manage significant aspects of the section for the following questions. (look at risk assessments) List equipment as evidence			

Maintained? (maintenance schedule, works order?) (e.g. extractor fans, oil separators, forklift for hazardous waste, pumps, sumps, pipes, bund wall)			
When last was the equipment, products and activities checked by internal and/or external party? (e.g.. Pipe, Tank wall thickness, flow meter calibration, etc.)			
Is the operational and environmental procedures explained to suppliers coming on site / contractors working on site where they interact with these issues? (on site induction)			
Is there any equipment broken/ unavailable to ensure significant environmental impacts does not occur? (back-up pumps, bund walls, filters, pipelines etc.)			
Does the section have the operating manual, manufacturing manual available to operating staff to make sure the equipment is used correctly?			
NOTE: Controls can include engineering controls and procedures. Controls can be implemented following a hierarchy (e.g. elimination, substitution, administrative) and can be used individually or in combination.			
Does the sections identify changes that can affect the EMS and plan action address them? (control planned changes e.g.. MOC)			
Does new activities, products, services have a new development clearance report and risk assessment?			
Have the section reviewed the consequences of unintended changes?			
Have arrangements been made to ensure that, consistent with a life cycle perspective, the section have considered the following during a change;			
Establishes controls , as appropriate, to ensure that its environmental requirement(s) is (are) addressed in the design and development process for the product or service, considering each life cycle stage? (a new development clearance report and risk assessment)			
Consider the need to provide information about potential significant environmental impacts associated with the transportation or delivery of its products and services?			
AUDITOR'S NOTES			
Housekeeping in the yard is improving but very slow. Lots of smaller scrap is stored on the lower levels			
8.2 Emergency preparedness and Response			
The organisation shall establish, implement and maintain the processes needed to prepare for and response to potential emergence situations identified in 6,1,1			
KEY QUESTION	Finding	Notes	Finding Ref.
Has the section identified its potential emergencies?			
Does the section know how they will respond to these identified emergency situations?			
Does the section know how to mitigate Emergency situations? (capture water used to suppress fire before it enters the environment and caused contamination)			
Is there preventative and emergency preparedness equipment in place to manage emergencies?			
Has the section had an emergency drill? When last?			
Is there an emergency drill report?			
Has the section reviewed or submitted comments to ENV unit to review the Emergency standard procedure after the occurrence of accidents or drills?			
Is the MSDS file always accessible to all relevant staff at all times?			
Is the MSDS (or emergency version) available where these chemicals are stored?			
AUDITOR'S NOTES			
Emergency preparedness is to basic standard. An upgrade to include mitigation and more stringent monitoring of MSDS sheets.			
9. Performance			
9.1 Monitoring, Measurement, Analysis and Evaluation			
9,1,1 General 9,1,2 Evaluation of compliance			
KEY QUESTION	Finding	Notes	Finding Ref.
Does the section know their relevant monitoring, measuring analysis and evaluation obligations? (e.g. Water use, water quality sampling, diesel level or diesel quality)			
Have arrangements been made to ensure that calibrated or verified monitoring and measurement equipment is used and maintained, as appropriate? (Flowmeters, SO2 emissions)			

Does the section keep documentation of calibrations (flow meters, equipment etc.) or refer to where they can be found?			
Is the operational controls to reduce environmental impact monitored? (water recycling systems, energy saving, waste sorting systems, bio-remediation, hydrocarbon management, etc.)			
How long ago was the equipment checked, maintained, calibrated? (e.g. oil separators, flowmeters)			
Is the checks, maintenance, calibration documented?			
Does the section check the monitoring data results to make sure they comply with standards? (e.g. hydrocarbon samples)			
Is the monitoring performance or change in state of the communicated with management? How? When?			
Have any of the sections actions or responsibilities caused any breach in legal requirements? (level 4 incidents reported to DWAF / Exceeding legal limits of emissions, storage of hazardous waste etc.)			
Have the section recently checked if it still complies with applicable legislation, permit conditions, mining licence (EMPR) conditions, reporting requirements of government?			
AUDITOR'S NOTES			
Monitoring of the new bioremediation should be done to assess compliance			
9.2 Internal Audit			
9,2,1 General			
9,2,2 Internal audit program			
KEY QUESTION	Finding	Notes	Finding Ref.
When last was the section audited to check if they are conforming to ISO14001?			
Was the findings raised corrected?			
AUDITOR'S NOTES			
9.3 Management Review			
KEY QUESTION	Finding	Notes	Finding Ref.
AUDITOR'S NOTES			
10. Improvement			
10.1 General			
the organisation shall determine opportunities of improvement and compliment pessary actions to achieve the intended outcomes of its EMS.			
KEY QUESTION	Finding	Notes	Finding Ref.
Have the section implemented any improvements recently?			
AUDITOR'S NOTES			
10.2 Nonconformity and Corrective action			
When a nonconformity occurs, the organisation shall: a) react to the nonconformity and, as applicable: b) evaluate the need for action to eliminate the causes of the NC, in order that it does not reoccur or occur elsewhere by:			
KEY QUESTION	Finding	Notes	Finding Ref.
Does all recorded incidents have a root cause, corrective and preventative actions (including occurrence elsewhere)?			
Have the possibility of reoccurrence been investigated and addressed?			
Have the effectiveness of preventative actions been assessed?			
Has the section submitted / implemented any changes in the documented procedures resulting from corrective and preventive action?			
Is the corrective or preventive actions :			
appropriate to the magnitude of the problems?			

address the environmental impact encountered?			
AUDITOR'S NOTES			

EMS Internal Audit

Department:

Section:

Company if BP:

Date:

Audit No.:

Auditors:

Auditees:

Review of Previous Audit Non-conformances

Audit #	Description	Ref.	Incident/Non conformance #	Effective	Y/N

Review of Previous Audit Recommendations for improvement

Audit #	Description	Recommendation	Effective (y/n)

Audit Incidents / Non-conformances

Incident / Non-conformance	Ref.	Description

Audit Recommendations

Recommendation	Ref.	Description