

TQCSI POLICIES FOR AUDITING & CERTIFICATION OF ISO 14001

This policy document describes policies determined by TQCSI's Certification Approval Panel in the interpretation of ISO 14001 for the auditing and certification of environmental management systems. It complements TQCSI Work Instruction 39 (EMS Certification) which should also be referred to by auditors when auditing clients' environmental management systems.

Nonconformances are to be dealt with as described at WI 32 (QMS Certification). When a major nonconformance is raised, the respective Lead Auditor or General Manager is to consider the risk when deciding on the time frame for the client to satisfactorily address the nonconformance. The time frame is not to be greater than three months but is to be much shorter if there is a risk to the environment. As a guide:

- *major NCR related to document control, management review, training etc - 3 months*
- *major NCR related to meeting environmental objectives - 2 months*
- *major NCR posing a threat of pollution - 1 month*
- *major NCR posing an immediate or serious threat of pollution – 1 week.*

Minor nonconformances are to be raised where:

- a discrepancy which has the potential to have a significant impact on the effectiveness of the environmental management system has not been addressed since being raised at a previous audit
- a serious discrepancy or a number of like discrepancies indicate there is a breakdown in part of the environmental management system or there is potential for pollution
- the monitoring of critical environmental impacts does not provide sufficient confidence in the integrity of the environmental management system
- the objectives of the environmental management system are not established and monitored
- there is an environmental hazard that is not controlled and could cause environmental harm
- there is a significant breach of legislation or a regulatory requirement
- all parts of the environmental management system have not been internally audited in the last 12 months
- all requirements for management review have not been conducted in the last 12 months.

Major nonconformances are to be raised where:

- an initial review of potential environmental risks has not been conducted
- the agreed action plan to address a minor nonconformance has not been implemented
- a serious discrepancy or a number of like discrepancies indicate there is a total breakdown in the environmental management system or there is direct evidence of pollution

- there is a very significant breach of legislation or a regulatory requirement
- an internal audit of the environmental management system has not been conducted in the last 12 months
- management review has not been conducted in the last 12 months.

General Policies:

- All environmental risks and hazards, their controls and risk assessment should be summarised on a register (often referred to as an Environmental Risk Register). The register must be regularly reviewed.
- Environmental objectives must be identified, documented and reviewed in a plan.

Approved: *original signed*

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