**Date last modified/updated:** Click here to enter a date.

**Who last modified/updated:** Click here to enter text.

**This part of the Navigator Playbook is completed when you have:**

1. **Appointed an EnMS internal audit program manager.**
2. **Developed a documented internal audit procedure that addresses the responsibilities, planning, and conducting of EnMS internal audits, as well as the reporting of audit results.**
3. **Identified personnel to serve as EnMS internal auditors and trained them on 50001 Ready Navigator EnMS guidance (or optionally ISO 50001 requirements and/or internal auditing of ISO 50001 including auditing of energy performance improvement), and your internal audit procedure.**
4. **Conducted regularly scheduled EnMS internal audits to identify areas of success and areas in need of improvement.**
5. **Recorded the results of your organization’s internal audits.**
6. **Ensured that internal audit results are reported to relevant management.**
7. Appoint an EnMS internal audit program manager:

|  |  |  |
| --- | --- | --- |
| [x]  | Audit program manager name: | Jack Doe |
| [x]  | Roles and responsibilities: | Audit program manager establishes an audit timeline, establishes an audit team and delegates interview and process review responsibilities. They also establish an audit and non-conformity documentation system, utilizing EnMS documentation best practices.  |

1. Develop a documented internal audit program that addresses the responsibilities, planning, and conducting of EnMS internal audits, as well as the reporting of audit results:

We have developed a documented internal audit procedure for our facility, with roles and responsibilities assigned to relevant personnel, and have detailed it below:

|  |
| --- |
| It is the objective of the audit program to audit all of the 50001 Ready requirements annually. Some processes may be audited more frequently based on their importance to the EnMS and the results of previous audits. Audits will be conducted quarterly. The Audit Program Manager is responsible for developing the audit agenda and assigning the audit team.Internal auditors will be trained and competent in understanding the requirements of 50001 Ready and have a general understanding of the process area they audit. The Audit Program Manager will manage the competency and training needed by the internal auditors to ensure that audits are conducted objectively without bias.The schedule of planned internal audits for each year is established and maintained by the Audit Program Manager. |

Our internal audit program includes:

[x]  Purpose of the audit program

[x]  Auditor training requirements

[x]  Planning and scheduling audits

[x]  Criteria and scope for each audit

[x]  Process for selecting auditors

[x]  Conducting internal audits, including audit methods

[x]  Recording the audit results

[x]  Communicating the results to relevant management

[x]  Retaining records

[x]  Collecting and analyzing trend data on audit results

Our internal audit process clearly communicates expectations by addressing:

[x]  What needs to be done

[x]  Who needs to participate in it

[x]  What records will be obtained

Internal Audit Plan Template

**Organization:** Example Wastewater Treatment Plant

**Audit Date:** 1/6/21

**Audit Scope:** Aeration SEU

**Audit Criteria:** The requirements of 50001 Ready as defined within the 50001 Ready Navigator online tool. As well as the policies, procedures, and practices of the wastewater treatment facility.

**Audit Objective:**  To determine the conformance of the EnMS with the audit criteria for the processes associated with the operation, maintenance, and energy performance of the Aeration SEU.

**Audit Team:** Jack Doe, Procurement, Jim Doe, Process Engineer

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Process or Area to be Audited | Start Time/End Time | Auditor(s) | Requirements (Criteria) to be Audited | Documentation References |
| SEU determination, SEU performance, relevant variables, and operational control | 9:00 AM – 11:00 AM | Energy Team Lead, Jane Doe | Criteria for determining SEUs. Records of SEU performance monitoring and evaluation of SEU EnPIs. Procedures and criteria for SEU operation and maintenance.  | Playbook Tasks 8, 9, 11, 17 |
| SEU operational control, relevant variables, and performance monitoring. Operator/maintenance tech competence and awareness. | 11:00 AM – 1:00 PM | Aeration Basin Operator, Aeration Maintenance Technician | Operating procedures and criteria for operating and maintaining the Aeration systems. | Playbook Task 17, 14, 15 |
| Lunch | 1:00 PM – 1:30 PM |  |  |  |
| SEU Procurement | 1:30 PM – 2:30 PM | Maintenance Purchasing Agent | Purchasing procedures, maintenance procedures | Playbook Task 18, 19 |
| Competence and awareness | 2:30 PM– 4:00 PM | HR Administrator | Procedures for employee training and awareness. Job task and skills assignment for SEU operators and maintenance technicians | Playbook Tasks 14, 15, 16, 17 |

1. Identify personnel to serve as EnMS internal auditors and train them on 50001 Ready Navigator EnMS guidance and your internal audit procedure:

|  |  |  |
| --- | --- | --- |
| [x]  | EnMS internal auditor name: | Jackie Doe |
| [x]  | The date the auditor trained on 50001 Ready guidance (or optionally ISO 50001 requirements): | 12/15/20 |
| [x]  | The date the auditor trained 50001Ready Navigator EnMS guidance (or optionally ISO 50001 requirements): | 12/15/20 |
| [x]  | The date the auditor trained on your organization’s internal audit procedure (or optionally ISO 50001 requirements): | 12/16/20 |

1. Conduct regularly scheduled EnMS internal audits to identify areas of success and areas in need of improvement:

|  |  |  |
| --- | --- | --- |
| [x]  | The internal audit schedule has been established. The audit frequency is: | Annually, on the first Wednesday after Holiday Break |

Our audit program manager has prepared an internal audit program that:

[x]  Addresses auditing of both energy performance and the management system.

[x]  Considers significance of process controls.

[x]  Considers previous audit results.

1. Record the results of your organization’s internal audits:

|  |  |  |
| --- | --- | --- |
| [x]  | Audit results have been documented in the following central location: | Shared Google Drive – “EnMS Internal Audit” |

1. Ensure that internal audit results are reported to relevant management:

|  |  |  |
| --- | --- | --- |
| [x]  | Audit results have been documented in the following central location: | Shared Google Drive – “EnMS Internal Audit” |
| [x]  | Audit results have been communicated to management | Top Management are aware of Internal Audit Date and we will be reporting out our findings at our monthly Energy Team Meeting |
| [x]  | Date communicated: | 1/15/21 |

*Use the following templates to help develop your organization’s audit schedule, record your audit findings, record corrective/preventative actions, and communicate results.*

Internal Audit Schedule Template

*Note: This is a template for an annual Internal Audit Schedule for an organization that conducts EnMS internal audits on a monthly basis. Internal audits must be conducted at planned intervals, such as monthly, quarterly, annually or at some other frequency consistent with the organization’s needs. The organization must define the intervals for conducting their internal audits.*

|  |  |  |
| --- | --- | --- |
| **EnMS Internal Audit Schedule: [Year]**Click here to enter a date. | Prepared by:Click here to enter text. | Initial Issue Date: Click here to enter a date.Update Date(s): Click here to enter text. |
| **EnMS Process & Performance** | **Jan** | **Feb** | **Mar** | **Apr** | **May** | **Jun** | **Jul** | **Aug** | **Sep** | **Oct** | **Nov** | **Dec** |
| Click here to enter text. |  |  |  |  |  |  |  |  |  |  |  |  |
| Click here to enter text. |  |  |  |  |  |  |  |  |  |  |  |  |
| Click here to enter text. |  |  |  |  |  |  |  |  |  |  |  |  |
| Click here to enter text. |  |  |  |  |  |  |  |  |  |  |  |  |
| Click here to enter text. |  |  |  |  |  |  |  |  |  |  |  |  |
| Click here to enter text. |  |  |  |  |  |  |  |  |  |  |  |  |
| Click here to enter text. |  |  |  |  |  |  |  |  |  |  |  |  |
| Click here to enter text. |  |  |  |  |  |  |  |  |  |  |  |  |
| Click here to enter text. |  |  |  |  |  |  |  |  |  |  |  |  |
| Click here to enter text. |  |  |  |  |  |  |  |  |  |  |  |  |
| Click here to enter text. |  |  |  |  |  |  |  |  |  |  |  |  |

**KEY:**

Scheduled ◆ Follow Up 🟓

Conducted ∆ Closed-Out ■

Audit Finding Form

|  |
| --- |
| **RECORD OF INTERNAL AUDIT NONCONFORMITY/CONCERN/POSITIVE FINDING** |
| Organization:WWTP | Auditor:PR Team Representative - Jan Doe | Standard:  50001 Ready: Tasks 14, 15 |
| Date:1/15/21 | Location of Finding:Stored in shared Google Drive; online suggestion form is on Sustainability main page. |
| Type of Finding (check one): [ ]  Nonconformity [ ]  Concern [x]  Positive Finding |
| ***Facts Concerning the Finding\****Statement of Criteria (Requirement):Method for collecting suggestions from interested external parties.Objective Evidence (Statement of Finding):Catalog of form responses documenting suggestions and responses how these were considered in EnMS processes. Use has exceeded expectations and augmented opportunities to integrate energy conservation into organization culture.*\* Statement of Criteria (Requirement) is not required for positive findings, but should be provided if appropriate.* |
| Documentation Reference:50001 Ready Tasks 14 and 15 |
| ISO Requirement Reference:N / A |
| Auditee Signature:Click here to enter text. | Auditor Signature.  Click here to enter text. |
| *Auditee signature indicates that facts concerning the nonconformity are correct.* |

Corrective Action/Preventive Action Request (CAR/PAR) Form

|  |
| --- |
| **EnMS CORRECTIVE ACTION/PREVENTIVE ACTION REQUEST** |
| TRACKING NUMBER: CAR008 |
| Type (check one): | [x]  Corrective Action | [ ]  Preventive Action |
| Source (check one): | [ ]  Internal Audit Finding[x]  Monitoring and Measurement[ ]  Energy Assessment[ ]  Legal Noncompliance [ ]  Noncompliance with Other Requirement Subscribed To[ ]  External Audit[ ]  Management Review[ ]  Other (specify): | [ ]  Employee Suggestion[ ]  Management Review[ ]  Data Analysis[ ]  Other (specify): |
| Date:  1/6/21 | Issued by:Facilities Manager |
| Response Due Date:  1/15/21 | Issued to:Maintenance Manager |
| Description of the problem (for corrective action) or opportunity (for preventive action):Evidence:Insufficient documentation justifying why some EnPIs are not normalized to support different EnMS policy goals and objectives.Requirement:EnPIs must be normalized in 50001 Ready.Statement of Nonconformity:Current EnPIs for Biodigester Gas are not normalized based on flow. |
| Investigation and Action*This section to be completed by the affected department manager.* |
| Root cause of the actual or potential problem: (How/Why did this happen?)Misunderstanding of requirements for EnPI tracking. |
| Action needed? [x]  Yes [ ]  No |
| Correction (fix now) with completion dates:Correct Excel calculations determining EnPIs to include normalization based on flow.Complete by: 1/15/21 |
| Corrective Action (to prevent recurrence) or Preventive Action (to prevent occurrence) to be taken:Alter formulas in EnPI tracker Excel to include flow as a normalizing variable then save as master template. |
| Estimated completion date:  1/15/21 | Extended completion date (if applicable):N / A |
| Reason for time extension:N / A |
| Reviewed by: Jack Doe | Date: 1/7/21 |
| *This section to be completed by the affected dept. manager - after action is completed.* |
| Action completed by:1/12/21 | Date completed:1/12/21 |

|  |
| --- |
| ***Follow-Up and Closure****This section is to be completed by issuer after action is completed.* |
| Results of action taken:Master Excel Template for EnPI Tracker updated to reflect Corrective Action Request. |
| Was the action effective? [x]  Yes [ ]  No Explain:EnPI for Biodigester Gas is now normalized based on Flow. |
| Results reviewed by:Jack Doe | Date closed: 1/14/21 |
| Did this CAR/PAR result in changes to EnMS documents?  [ ]  Yes [x]  No |
| If yes, which document(s) was (were) changed? N /A |

Corrective Action/Preventive Action Request (CAR/PAR) Tracking Log

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **CAP/PAR #** | **Source\*** | **Assigned to:** | **Short Title/Description** | **Issue Date** | **Due Date** | **Extension** **Due Date** **(if applicable)** | **Closed?****(Y/N)** |
| CAR008 | IA | Jim Doe | Maintenance Manager | 1/6/21 | 1/15/21 | N / A | Y |
| Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter a date. | Click here to enter a date. | Click here to enter a date. | Click here to enter text. |
| Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter a date. | Click here to enter a date. | Click here to enter a date. | Click here to enter text. |
| Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter a date. | Click here to enter a date. | Click here to enter a date. | Click here to enter text. |
| Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter a date. | Click here to enter a date. | Click here to enter a date. | Click here to enter text. |
| Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter text. | Click here to enter a date. | Click here to enter a date. | Click here to enter a date. | Click here to enter text. |

\*Source:

IA = Internal Audit

EnA = Energy Assessment

ExA = External Audit

LN = Legal Noncompliance

MM = Monitoring and Measurement

MR = Management Review

ON = Noncompliance with Other Energy Requirement Subscribed To

O = Other

Top Management Approval

|  |  |  |
| --- | --- | --- |
| [x]  | Date approved: | 1/16/21 |
| [x]  | Who approved: | Jack Doe |

Comments

Click here to enter text.