EF-13A

Auditor Preparation Sheet EXAMPLE

Facility Area	Laboratory Hazardous Waste Satellite Area	Date:	2/9/2009
Auditee Names	Sally Smith	Auditor(s):	Charlie P

#	EMS Elements	Expected Auditee Requirements				(Check one Box for Each Element)	Open CARs?
		NA	Aware		Other Auditee Responsibilities?	Comments (Docs, SOPs, Programs, Issues, etc)	
4.1	General	☑	☐	☐	- Does Auditee define Scope?		☐
4.2	Environmental Policy	☐	☐	☑	- Does Auditee define Policy, or - Active in setting up company operations to achieve it; or - Reviewing it, or - Setting up trainings for it	- Ask if job duties pertain to commitment to "prevention of pollution"	☐
4.3.1	Environmental Aspects	☐	☐	☑	-Are significant Aspects in Area ? - Are significant aspects controlled in this area? - Have all env aspects in this area been identified?	This is one of the Sig Aspects (Haz Waste); Verify auditee is familiar with environmental importance of this area	☐
4.3.2	Legal & Other	☐	☐	☑	- Auditee Active in maintaining compliance? - Does Auditee have to access req'ts - Does Auditee have to follow permit limits, or legal req'ts?	Haz Waste Management is a Legal requirement. Inquire into her responsibilities here (but no need to cover individual compliance issues covered in regulatory evaluation	☐
4.3.3	Objectives, Targets & Programs	☐	☐	☑	- Is Auditee Responsible or involved in achieving an Objective or target ?	There are Targets/Objectives for Haz Waste (she should be familiar with them)	☐
4.4.1	Resources, Roles, Responsibility	☐	☑	☐	- Does Auditee appoint EMS Personnel or allocate resources?	Know who to contact re: Env Issues	☐
4.4.2	Competence, Training & Awareness	☐	☐	☑	- Does Auditee have to be competent (for sig aspect)? - Is auditee responsible for documenting trainings & competency records ?	- Ask her how the company verifies she is competent? - Ask about training in general	☐
4.4.3	Communication	☐	☑	☐	- Is Auditee involved in making Internal or external communications?	- Does she make "external communications"? Does she record them?	☐
4.4.4	Documentation	☐	☑	☐	- Is auditee Involved in establishing or maintaining documents?	- Verify she has access to SOPs, Forms, etc	☐

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		NA	Aware	Other Auditee Responsibilities?		Comments (Docs, SOPs, Programs, Issues, etc)	
4.4.5	Control of Documents	☐	☐	☑	- Is auditee involved in Doc Control System? - Does auditee have access documents ?	- Check for out of date SOPs, etc.	☐
4.4.6	Operational Control - Work Instructions	☐	☐	☑	- Does auditee have to following EMS Work instructions for Sig Aspects? - Does auditee recording EMS data, follow EMS checklists, etc ?	- SOP01 (Haz Waste Management) - SOP02 (Hazard Communication)	☐
4.4.6	Operational Control - Contractors	☐	☐	☑	- Is auditee responsible for making EMS communications to contractors,or - verifying contractor has EMS training?	- Safety Kleen, Noble Oil - Inquire into communications/trainings for these contractors	☐
4.4.7	Emergency Prep and Response	☐	☑	☐	- Is auditee an Emergency Coordinator? - Is auditee is on Response Team, or - Involved in developing prevention strategies, etc	Evacuation Plans	☐
4.5.1	Monitoring and Measurement	☐	☐	☑	- Does auditee record EMS data, or - Determining EMS Performance,or - Perform EMS Calibrations?	- Hazardous Waste Generation is "Key Characteristic"	☐
4.5.2	Evaluation of Compliance	☐	☐	☑	- Is auditee involved in performing legal compliance evaluations, or - providing expertise in compliance issues, or - working with external regulatory consultants?	- Ask her if a compliance evaluation has been performed - What are the compliance issues? - Does she have any compliance responsibilities?	☐
4.5.3	Non-Conformity, Corr & Prev. Actions	☐	☐	☑	- Does auditee manage CAR / PAR system, or - Actively involved in CARs, or - In documenting CARs?	- How does she participate in CARs / PARs?	☐

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		NA	Aware	\multicolumn{2}{c}{Other Auditee Responsibilities?}	Comments (Docs, SOPs, Programs, Issues, etc)	
4.5.4	Control of Records	☐	☑	☐	- Is auditee responsibilities for one or more EMS records (accessing, creating, etc)?	How does she record HW eneration rates (show me)?	☐
4.5.5	Internal Audit	☐	☑	☐	- Is auditee on the audit team ? - Lead Audits? - Designs Audits?	- Are audits any good? - Do they add value to the EMS?	☐
4.6	Management Review	☐	☐	☑	- Does Auditee participate in Management Reviews	- Does she get all the resources she needs for managing Hazardous Waste?	☐