

EMS Audits/Assessments

February 1, 2023

SOLID WASTE Environmental
Management
System

Committed to Continuous Improvement



Definition



Audit

A planned, objective and documented **Assessment**, either done internally by the program participant or its designee or externally by an independent third party, to determine the performance of a planning or service area's system in relation to the designation requirements.

Requirements from IAC 567-111

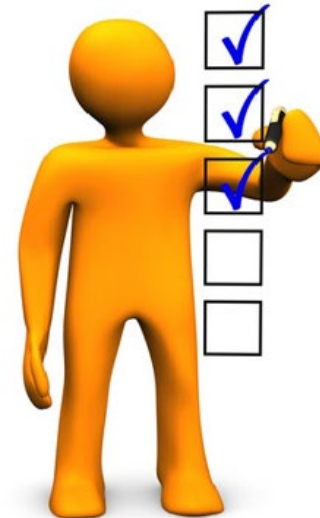
- ① *Internal Audit.* A copy of the result of the latest internal Audit that includes the date(s) it was conducted and the identity of the Auditor(s) shall be provided as part of the report. An internal Audit shall be conducted each state fiscal year.
- ① *External Audit.* An external Audit shall occur each state fiscal year. The date of the latest external Audit or the date the Audit will take place, along with the identity and pertinent qualifications of the independent, third party Auditor(s) shall be provided. The results of the external Audit shall be incorporated into the report. The department has a prequalification process for external Auditors.



**EMS Audit is the way to
proactively identify strengths
and weaknesses in the EMS and
the associated root cause**

EMS Elements Essentials for Audit

“The organization must have documented procedures for assessing the function of each component and its effectiveness of and conformance with the EMS plan. Audit is the process of drawing conclusions from the performance measurements.”

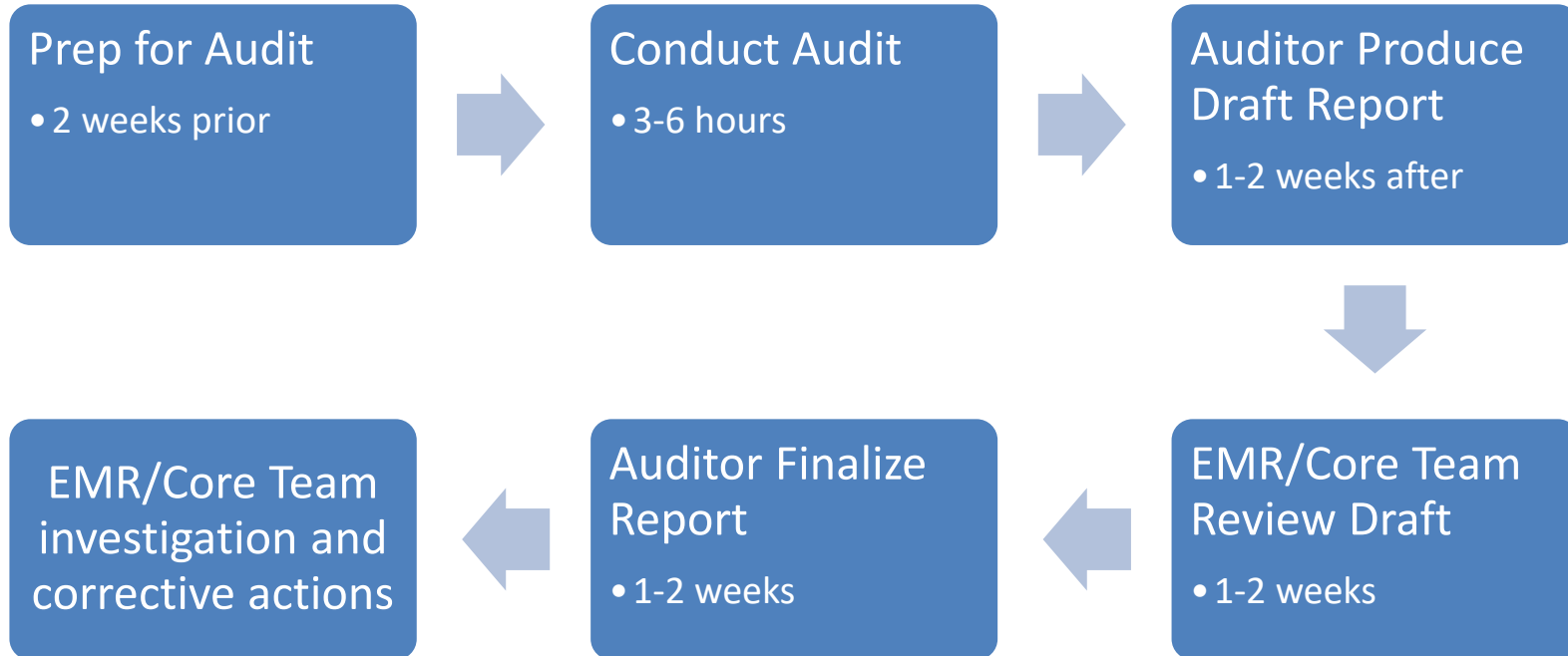


External EMS Audit Process

- ⦿ Coordinate Audit Date with DNR/External Auditor
- ⦿ Provide Copies of Required Documents on DropBox in Advance
- ⦿ If Onsite Audit, Ensure EMR and Other Requested Staff are Available
- ⦿ If Remote Audit, Prepare for Virtual Meeting Accordingly
- ⦿ Receive Draft Audit Report 2-4 Weeks After Audit
- ⦿ Investigate Any Nonconformances (i.e., “Did Not Meet” findings) and Identify Root Cause(s)
- ⦿ Respond to DNR with Proposed Corrective Action(s)



EMS Audit Process



Identify and Select Auditor(s)

- ◎ Selection Must Ensure that Objectivity and Impartiality of the Audit Remains Intact!
 - Cannot Audit Your Own Work (No EMRs or EMS Core Team Members)
- ◎ Traits of a Good Auditor
 - Interest in EMS
 - Some Environmental Knowledge or Concern
 - Brave
 - Conversationalist
 - Tactful
- ◎ Collaborate with Peer EMS



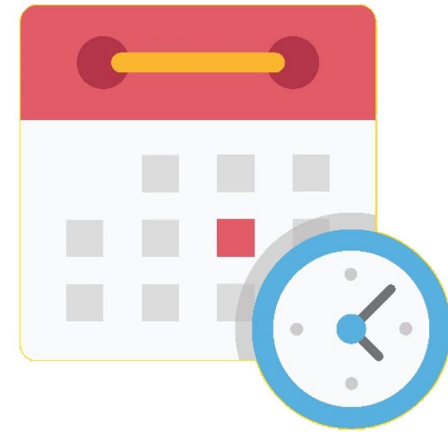
Developing the EMS Audit Plan

EMS Audit Plan

- ① The EMS Audit Plan Serves as a Planning Tool to Facilitate the Audit Process
- ① The Audit Plan Should Document
 - The Scope
 - Each of the 10 EMS elements should be audited for conformance each year
 - Timing and schedule are up to you
 - The Schedule
 - The Evidence Needed to Verify the EMS is in Place and Working Effectively
 - Interviews with staff
 - Review of documents
 - Review of records



Overall Audit Schedule



- ① Opening Meeting
 - Outline Schedule
 - Discuss Process and Expected Results
- ② Conduct the Audit According to the Plan
 - Interviews
 - Document/Record Review
 - Field Observations
- ③ Closing Meeting
 - Disclose the Preliminary Findings of the Audit
- ④ Audit Report

**The Goal of the Audit is to Collect Objective Evidence to
Demonstrate the EMS is Working**



Audit Plan Example

Internal EMS Audit Plan

Date: January 3, 2020

Preparer: Tom Dietrich

Facility: Great Iowa Solid Waste Agency

Facility/ Department/ Area	EMS Element	Auditor(s)	Auditee(s)	Date and Time	Special Instructions
EMS general	1 to 10	Tom Dietrich	EMR	8:30-10:00	Send documents 2 weeks prior to audit
Landfill	1 to 7	Tom Dietrich	Landfill Supervisor	10:00-11:00	Interview to be conducted during field visit
RCC	4 to 7	Tom Dietrich	HHM Supervisor	11:00-11:30	Interview to be conducted during field visit
Recycling Center	4 to 7	Tom Dietrich	Recycling Coordinator	11:30-12:00	
Top Management	1, 9, 10	Tom Dietrich	Director	15 minutes	Flexible timing to best fit Director's schedule between 8:30-10:00

Audit Planning Roles

⦿ Auditor(s)

- Finalize Audit Checklists (Template Available)
- Finalize Method of Note Taking (Template Available)

⦿ EMR/EMS Core Team

- Compile and Review EMS Related Documents and Records
- Consider Access to EMS Software
- Review Findings of Previous Audit
- Notify Staff of Upcoming Audit



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Audit Checklist



3rd Party EMS Audit Checklist

Facility: _____ Date: _____

Lead Auditor: _____

* indicates a required or recommended procedure or a record of demonstration

Iowa EMS Element Description and Number	Notes	Audit Results				
		Met	Commendable	Opportunity	Partially Met	Not Met
0	Review and Discuss previous External Audit Findings/Corrective Action Work Orders IAC 567-111.6(10)a	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1	Environmental Policy Statement (EPS)					
	*EPS - Has management (or other relevant party) adopted an Environmental Policy Statement. When was the EPS last reviewed/revised? IAC 567-111.6(2). Who developed the EPS? Is Board or management approval required for the EPS?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Does the policy demonstrate the following:					
	(1) Commitment to environmental performance? IAC 567-111.4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(2) Framework for action? IAC 567-111.4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(3) Framework for setting environmental objectives and targets? IAC 567-111.4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(4) Statement of commitment - environmental compliance and continuous improvement? IAC 567-111.4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Is the EPS visible and communicated externally? IAC 567-111.6(8)a. Is it posted? Is it available on the Internet? Other?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Are staff aware of the EPS? IAC 567-111.6(2), IAC 567-111.6(8)b. Is EMS information about Objectives/Goal available to staff?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Audit Notes

EMS Audit Notes

Date:

Facility:	Auditor:
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Iowa EMS Element Description and Number		Audit Notes		
		Interview Notes (Interviewee Name and Results of Interview)	Documentation (Indicate Files Reviewed and Results) Note: Some Common Docs Listed for Convenience. Add "Other" as Needed.	Follow-Up Actions (Task, Responsibility, Due Date)
0	External Audit Findings/ Corrective Action Work Orders		<input type="checkbox"/> External Audit Findings <input type="checkbox"/> Corrective Action Work Orders <input type="checkbox"/> Other	
1	Environmental Policy Statement		<input type="checkbox"/> Policy <input type="checkbox"/> Other	

Audit Plan - Best Practices



- ① The auditor should work with the EMR to determine the schedule and necessary interviews
- ① Remember to schedule senior management interviews in advance
- ① Allow flexibility in the schedule – you never know where the audit will take you
- ① The flow of the audit plan is up to the auditor and EMR but most auditors:
 - Start with an interview with the EMR and document review
 - The site observations and interviews confirm the statements by the EMR and commitments in the documents

Conducting the EMS Audit

Assessing the 10 EMS Elements

- ◎ Each of the 10 EMS Elements should be audited for conformance each year.
 - Timing and schedule are up to you.
- ◎ Audits typically include:
 - Interviews with staff
 - Review of documents
 - Review of records
 - Evaluation of environmental improvement

Note: See Handout with 10 EMS Elements



Auditor Objectives

- ⦿ Look for evidence to support conformance
- ⦿ Encourage continual improvement attitude
- ⦿ Document findings
 - Satisfactory Findings
 - Nonconformance Findings



Findings Terminology

Satisfactory Findings

Met

Satisfied standard fully.

Commendable



Satisfied standard fully and demonstrated innovation or exceptional effort.

Opportunity



Satisfied standard fully. Auditor has suggested improvements for consideration by EMS.

Nonconformance Findings

Partially Met

Satisfied standard partially. EMS is to implement root cause analysis and address nonconformance prior to the next audit.

Not Met

Standard not satisfied. EMS is to implement root cause analysis and address nonconformance in a manner approved by DNR.



EMS Documentation

- ⦿ Have required Procedures been developed?
- ⦿ Have documents been approved by management?
- ⦿ Is staff working from latest procedure?
- ⦿ Is there a record retention policy in place?



Auditing Best Practices

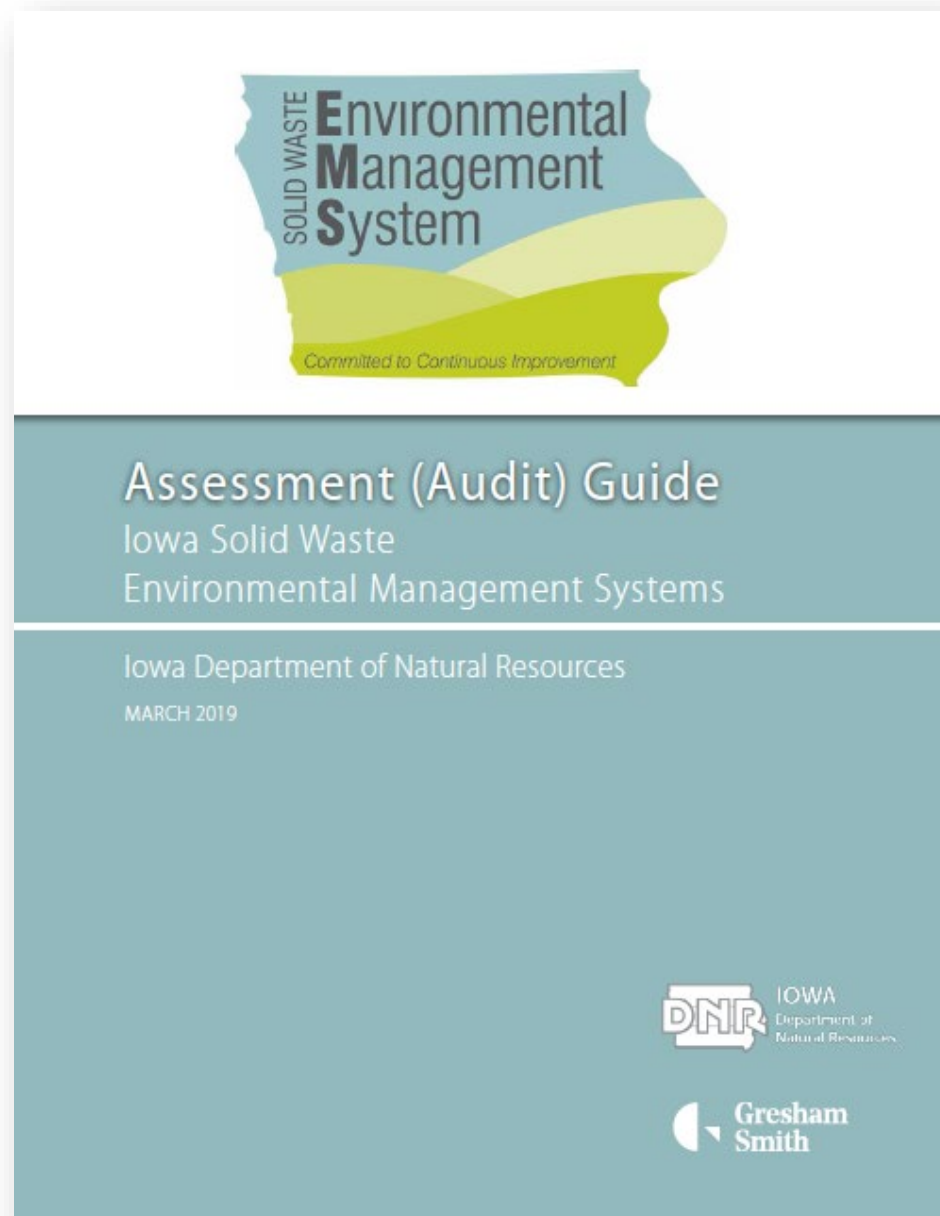


- ⦿ Use your EMS checklist!
- ⦿ Follow “audit trails”
- ⦿ Look for objective evidence and record results
- ⦿ Be friendly and patient
- ⦿ Avoid jargon and adjust terminology / approach with each interview
- ⦿ Generally explain the process to staff
- ⦿ Remember people can be nervous
- ⦿ Communicate to the EMR during the audit

**Remember, the EMS is About
Continual Improvement and So
is the EMS Audit**

Audit Guide

- ① Use as a Resource



Questions?

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