Welcome!

VIA = Very Important Auditor (Assessor)

EMS Model
Plan-Do-Check-Improve Model

- Environmental Policy
- Planning
- Implementation
- Assessment & Corrective Action
- Management Review

It's You!
Internal Auditor Training

Environmental Management System (EMS) Program

- A voluntary alternative to the Solid Waste Comprehensive Planning Program
- Legislation signed into law in 2008 (HF 2570)
- Is based loosely on ISO 14000...(what?)
Internal Auditor Training

- Every county and city in Iowa is required to have a “Comprehensive Plan” for solid waste.
- Grouped together into 44 “Planning” Areas
- Does the “Comp Plan” system accurately portray all that solid waste planning areas accomplish?
Internal Auditor Training

- Comp planning is based on landfill waste diversion
- EMS has 6 areas of emphasis
EMS training program information – Sets up the framework

- Program applications due February 15
- 11 participants
- 9 are considered “Tier 2” – they have completed training
- 2 are still in training and are considered “Tier 1”

Training site visit – Landfill of North Iowa
Internal Auditor Training

Part of annual EMS program training

Who attends?

• New EMS participants
• Tier 2 participants who have changed Internal Auditors
• Plus several participants who wanted to train additional Auditors
• Other interested parties – EMS Council, consultants
IAC 567 Chapter 111 spells out details

Iowa EMS Framework (HF 2570)

First 3 elements are overarching; final 7 are completed for each of the six component areas
ISO (International Organization for Standardization)

Standards you may have heard of:

**ISO 9000** Quality management

**ISO 14000** Environmental management – set international standards for this system.

As of 2010, over 14,000 companies were certified to those standards.
Iowa’s EMS program is NOT ISO.....

Those who put together Iowa’s Solid Waste EMS had a similar vision in mind...yet different.

Iowa EMS must be audited using Iowa EMS standards
111.6(6) *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.

111.6(7) *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.
Two main purposes of the Internal Audit

- Make sure EMS is in place and functioning
- Prepare for the External Audit
External Audit Photos

Audits – a combination of paperwork, meetings, staff interviews – visit projects on site
Audit Schedule

After June 30, 2014 and before June 30, 2015

• In FY2015 Tiers 2 and 2a will undergo Partial Audits (see schedule)
• Jennifer Reutzel will join as a member of an interchangeable 3 person team (with Becky as recorder)
• Audits will take place at the Wallace Building or may be completed via conference call.
• Audits will be spread throughout the year as schedules allow – so they’re not all in the fall.
### EMS External Audit Information

<table>
<thead>
<tr>
<th>EMS Elements</th>
<th>Comments</th>
<th>2a</th>
<th>Tier 1</th>
<th>2&amp;2a</th>
<th>New</th>
<th>Tier 1</th>
</tr>
</thead>
<tbody>
<tr>
<td>Environmental Policy Statement</td>
<td>Typically change infrequently and partially.</td>
<td>X</td>
<td>X</td>
<td></td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Environmental Aspects and Impacts</td>
<td>Typically change infrequently and partially.</td>
<td>X</td>
<td>X</td>
<td></td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Legal and Other Requirements</td>
<td>Typically change infrequently and partially.</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Objectives and Targets</td>
<td>Typically change frequently and completely.</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Action Plan</td>
<td>Typically change frequently and completely.</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Roles and Responsibilities</td>
<td>Typically change infrequently and partially.</td>
<td>X</td>
<td>X</td>
<td></td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Communication/Training/Awareness</td>
<td>Typically change infrequently and partially.</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Monitoring and Measurement</td>
<td>Typically change frequently and completely.</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Assessment</td>
<td>Typically change infrequently and partially.</td>
<td>X</td>
<td>X</td>
<td></td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Reevaluation and Modification</td>
<td>Typically change infrequently and partially.</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
</tr>
</tbody>
</table>

Tier 1 = Joined program 2013  
Tier 2 = Veterans – original Pilots  
Tier 2a = New Fall 2011/Early 2012

### DNR Audit Team

- Becky Jolly: Solid Waste Program Support  
- Leslie Goldsmith: EMS Program and Comp Plan Lead  
- Jeff Flagg: Pollution Prevention Team Leader  
- Scott Flagg: Derelict Program Lead, SWAP, tech assist  
- Jennifer Reutzel: Pollution Prevention coordinator  
- Shelene Codner: Iowa Waste Exchange Representative
They’ll each need an Internal Audit/Assessment before then...

That is your mission – should you choose to accept it!
Questions?

Leslie Bullock Goldsmith
Iowa Department of Natural Resources Planner
(515) 281-8499 Work
leslie.goldsmith@dnr.iowa.gov
502 East 9th St
Des Moines, IA 50319