

EMS Internal Audit Checklist

Date:

Facility:		Procedure	Other Annual Report document	Lead Auditor:			
Iowa EMS Element Description and Number		Audit Results					
		Interview Notes	Met	Partly Met	Not Met	Commendable	
1	Environmental Policy Statement						
	Has management (or other relevant party) adopted an Environmental Policy Statement 567-111.6(2). Is Board approval required?						
	Does the policy demonstrate the following:						
	(1) Commitment to environmental performance? IAC 567-111 Definitions						
	(2) Framework for action? IAC 567-111 Definitions						
	(3) Framework for setting objectives and targets? IAC 567-111 Definitions						
	(4) Commitment to continuous improvement? IAC 567-111 Definitions						
	Is it visible and communicated to staff, Others? Is it posted? <i>Internet? Other?</i> IAC 567-111.6(5)c(1,2)						
	Are staff aware of the Policy? IAC 567-111.6(5)c(2). <i>Ask staff if know about EPS or acronym. Does organization have an EMS book? Available to staff?</i>						

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2	Environmental Impacts, actual & potential					
	Has a methodology been determined for significant impacts and documented? (Procedure) IAC 567-111.6(3) <i>How is it kept updated? Who knows where all procedures are? Who can see them?</i>					
	The list of Significant Aspects/Impacts must be included in the Annual Report. 567-11.6(3). How does the organization make sure the Environmental Impacts list adequately represents the activities and associated environmental impacts of the facility? Have any changes that occurred or that may occur in the near future been included in the list, including starting or ending programs/facilities? IAC 567-111.6(3)					
	Is input collected from all levels of the organization? How were impacts identified. How was the threshold picked for "significant?"					

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3	Legal and Other Requirements					
	Has a Legal requirements list been developed for the facilities in the Planning or Facility Service Area fenceline? The list should include: environmental laws, regulations and permits along with worker health and safety regulations. IAC 567-111.6(4). <i>How is the list kept updated?</i>					
	Is there a documented process for tracking any changes in Legal and Other requirements? IAC 567-111.6(4). <i>How is the procedure kept updated ?</i>					
	Are there any Legal and Other gaps or areas that need to be addressed? Relevant Environmental laws for within the fenceline: Iowa Codes, Federal Code, OSHA, local regulations. IAC 567-111.6(4)					
	Does the organization perform regular inspections of facilities and Equipment?					
	Were there any changes to operations or changes to laws or regulations which affect the EMS? <i>If so what were they? How were they dealt with?</i>					
	Are there any listings considered "Other"? What are they?					

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4	Objectives and Targets					
	Have Objectives and Targets been set in all the six component areas? IAC 567-111.6(5)a Yard Waste, HHW, GHG, Water Quality, Recycling and Environmental Education. IAC 567-111 Definitions. Is continuous improvement being achieved? Iowa Code 455J.4(2)					
	Is the Objective an overall and quantifiable goal arising from the Planning or Service Area's Environmental Policy/Aspects/Impacts? IAC 567-111 Definitions					
	Were the targets detailed and quantifiable? <i>Who is in on coming up with Os and Ts?</i>					
	Did the organization meet Targets set? IAC 567-111. <i>Why/Why not? If not what progress has been made?</i>					

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5	Action Plan					
	Does each Objective and Target have an associated Action Plan in place to achieve the goal(s)? IAC 567-111.6(5)a					
	Is there a plan describing: the actions necessary to achieve Objectives and Targets? IAC 567-111.6(5)b					
	-Does each Objective have timelines for completion of each step in the plan? IAC 567-111.6(5)b.					
	-Does it Include the identification of the individual and organizations responsible for carrying out specific tasks of each step of the plan? IAC 567-111.6(5)b					
	-and a schedule for periodically reviewing and updating the Objectives and Targets as conditions dictate. IAC 567-111.6(5)b. <i>How is the procedure kept updated?</i>	Note: Strongly suggested procedure. Organizations should either present a Procedure or a schedule that identifies when Action Plans are updated and the conditions regarding periodic Objective and Target reviews and updates, according to 567-111.6(5)b.				

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6	Key Resources and Additional Needs					
	Were Key Resources and Additional Needs identified? Does the Action Plan include the identification of the individuals and organizations responsible for carrying out specific tasks? IAC 567-111.6(5)b. Is there a designated EMR and an EMS Core Team?					
	How are deficiencies addressed by the organization? For example when Objectives are not met, or when there is an environmental issue, such as a spill?					
	Has the organization identified EMS and associated environmental roles and responsibilities? Has it included fiscal matters, skills, facilities & partners? Is this taken into account when setting the Action Plan? How about grant funds?					
	Are employees aware of their EMS and environmental roles and responsibilities?					

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7	Communication/Training/Awareness					
	Communication/External: Has the organization determined how to identify the groups and organizations that would have an interest, stake or role in the Planning or Service area's ongoing EMS program? (External) How does the organization reach out to those groups? IAC 567-111.6(5)c(1)					
	Communication/External: Has the organization developed a procedure for receiving and responding to relevant external parties? IAC 567-111.6(5)c(1) <i>How is the procedure kept updated?</i>					
	Communication/Internal and Training: Has the organization developed a procedure to ensure that individuals, organizations and entities that will have a role or responsibility for an Action Plan will have the training necessary to carry out their roles. IAC 567-111.6(5)c(2). <i>How is the procedure kept updated?</i>					
	Training: How is training provided to responsible parties? IAC 567-111.6(5)c(2). Does the organization provide and track training? How is training tracked? Is special software used? Where are records kept?					
	Internal Communications: How is the EMS communicated Internally? How do all employees have a chance to provide input?					

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8	Monitoring and Measurement					
	Don't Forget about Document Control - a Document Control procedure is optional.					
	Does the organization have a documented process (procedure) for monitoring key activities and, at a minimum, measuring performance related to each Objective and Target? IAC 567-111.6(5)d. <i>How is the procedure kept updated?</i>					
	Are results of monitoring available for review and are do they demonstrate improvement?					
	Are processes/tools to measure performance routinely maintained? <i>Get examples. Ask for documentation.</i>					
	Are the environmental improvements adequate given the nature and scope of the EMS?					

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9	Assessment					
	What Rule says - Overall: Does the organization have a documented procedure to assess the performance of each EMS component Action Plan in terms of achieving the stated objectives and targets and conformance with the overall EMS. IAC 567-111.6(5)e. What it means - Do you have a procedure for Assessments or Internal Audit? <i>How is the procedure kept updated?</i>					
	Was an internal EMS audit/assessment conducted during the past/current state fiscal year? Was it documented with a report? IAC 567-111-6.6 <i>Date set or occurred:</i>					
	Who is in charge of setting up the assessments (audits) internal and external and making sure staff is prepared for each?					
	Was compliance with Legal and Other requirements reviewed or is there an ongoing compliance assessment/audit process? <i>Explain how/when done. Who is in charge of document control?</i>					

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10	Reevaluation and Modification					
	For each plan component, the report shall identify root causes of those outcomes and develop revised goals and activities appropriate to each. IAC 567-111.6(5)f. <i>How is the procedure kept updated?</i>	Note: Strongly suggested procedure. Organizations should either present a Procedure or should present Annual Report information identifying how root causes and activities are reevaluated to improve the EMS on an ongoing basis - as stated in 111.6(5)f.).				
	The reevaluation and modification element is an activity that allows a planning or service area to improve and strengthen the EMS on an ongoing basis. This element considers areas where the EMS has met, exceeded, or failed to meet expectations. IAC 567-111.6(5)f. Has the organization used reevaluation to improve and strengthen the EMS on an ongoing basis?					
	Were corrective/preventative actions implemented since Audits and have they been effective? <i>What process is used to report/track/correct problems?</i>					