

Internal Audit Checklist (F-013.01)

Date:

EMS Requirement	Yes	No	Findings/Remarks	Responsible Party/Parties	Date Completed
Structure and Responsibility					
Company has defined the roles, responsibilities, and authorities to facilitate an effective EMS.					
The company ensures the availability of resources essential for the implementation, maintenance and improvement of the EMS.					
Company management has appointed an EMR with defined roles and responsibilities to implement the EMS.					
Company EMR reports on the performance of the EMS to top management for review and continuous improvement.					
Environmental Policy					
Top management has defined the company's environmental policy.					
The company has defined the scope of the EMS.					
Policy is specific to company and is appropriate to the nature, scale and environmental impacts of its activities, products or services.					
Policy includes a commitment to continuous improvement in environmental performance and the prevention of pollution.					
Policy includes a commitment to sharing information on EMS performance with the community.					
Policy includes a commitment to comply with applicable environmental legislation and regulations.					
Policy includes a commitment to meeting other requirements to which the company subscribes.					

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Policy provides the framework for setting and reviewing environmental objectives and targets.					
Policy is implemented and maintained.					
Policy is communicated to all employees.					
Policy is made available to the public.					
Environmental Aspects					
Company has established and maintains a procedure to identify the environmental aspects that it can control or over which it can be expected to have an influence within the scope of its EMS, in order to determine those that have or can have significant impacts. It takes into account, modified, planned or new, activities, products or services in this process.					
Company has considered in its SEA determination, the aspects associated with on-site contractor activities.					
SEAs are considered in developing, implementing and maintaining the EMS including forming the basis for establishing process and management controls, environmental improvement programs, and SEAs for further investigation and study.					
Legal and Other Requirements					
Company has a procedure to identify and have access to legal and other requirements and to determine how these requirements apply to its environmental aspects.					
Company maintains access to all current federal, state, and local regulations and ordinances by either contacting the appropriate authorities or subscribing to a regulatory update service.					
Company has documented procedures for periodically evaluating compliance with relevant environmental legislation and regulations.					

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EMR is responsible for planning, scheduling and implementing internal environmental regulatory compliance assessments, including the identification of required resources.					
A procedure is in place for these assessments and they evaluate compliance with applicable environmental legal and other requirements to which the Company subscribes.					
These assessments are documented and are part of the EMS.					
Company considers that environmental legal and other requirements to which it subscribes are considered in developing and maintaining its EMS.					
Objectives and Targets					
Company has considered technological options, financial, operational, and business requirements in establishing its objectives and targets.					
Company has considering legal and other requirements in establishing objectives and targets.					
Company has considered the views of interested parties in establishing objectives and targets.					
Company objectives and targets are, documented, are at relevant functions and levels within the organization, measurable where practicable, and are consistent with environmental policy and its commitment to prevention of pollution, and compliance with environmental legal and other requirements..					

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Environmental Programs					
Company has established and maintained programs for achieving its objectives and targets.					
These programs designate responsibility for achieving objectives and targets at relevant functions and levels of the organization and the means and time frame for their achievement.					
New activities, products or services are reviewed for potential environmental impacts and aspects.					
Company has defined roles and responsibilities for environmental review of new projects.					
Project originator reviews and characterizes the environmental and energy aspects of a new project.					
Company has identified operations associated with SEAs.					
Company has planned maintenance activities in order to ensure that they are carried out under specified conditions.					
Operations associated with SEAs have documented procedures to cover situations where their absence could lead to deviations from the policy, objectives and/or targets.					
Procedures stipulate operating conditions.					
Company has a procedure related to the identifiable SEAs of goods and services provided by contractors and vendors and communicates procedures and requirements to suppliers and contractors.					
Company or initiating activity communicates relevant company-specific environmental procedures, work practices, and requirements to affected contractors prior to the commencement of requested work.					
Company has a procedure for the prevention of pollution and material usage minimization.					

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Company has documented procedures for monitoring and measuring key characteristics of operations associated with SEAs.					
Company has established metrics to track performance, relevant operational controls, and conformance with objectives and targets.					
Training and Awareness					
The company has performed a comprehensive environmental training needs analysis.					
Individuals working for the company or on its behalf whose work may create a significant impact, or is associated with a SEA, have received appropriate training.					
Company has a procedure to make individuals working for it or on its behalf aware of the importance of conformance with policy and procedures, the significant impacts associated with their work, and their roles and responsibilities as they pertain to the environmental policy.					
Company has a procedure to make individuals working for it or on its behalf aware of: requirements of the EMS, the potential consequences of departure from operating procedures, and emergency preparedness and response.					
Company individuals working for it or on its behalf performing tasks that can cause significant environmental impact are competent on the basis of education, training and/or experience.					
Communication					
Company has a procedure for internal communication between the various levels and functions of the company.					
Internal communications procedures are used to facilitate implementation of regulatory, company policy and other requirements.					

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Company has a procedure to log external communications and record the responses to external communications that concern environmental issues.					
EMR or designee responds to inquiries from the community and regulatory agencies.					
A designated person, in consultation with the EMR, is responsible for responding to media communications.					
Company has documented whether it will externally communicate about its SEAs and if so, has established a procedure for this.					
Where the external communication relates to an environmental incident, appropriate emergency response procedures are identified and followed.					
Emergency Preparedness & Response (EP&R)					
Potential environmental incidents and emergencies likely to occur at the company have been identified by the cross functional team.					
Methods for preventing, mitigating associated impacts and responding to potential and actual releases that require emergency response have been established and maintained at the company and involve the appropriate response personnel.					
Roles and responsibilities for communications within the company and for obtaining outside support services (e.g., police, fire) have been established and are maintained at the company.					
The EP&R procedures at the company are reviewed and revised on an annual basis or as necessary by the CFT.					
EP&R methods and communications are tested on an annual basis or as necessary.					

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The company emergency response leader records information necessary to determine corrective and preventive actions and any improvements to existing procedures that may be needed.					
Documentation and Control of Documents and Records					
Company has information in paper or electronic form to describe the core elements of the EMS and their interactions.					
Company has information in paper or electronic form to provide direction to related documentation.					
Company has a procedure for controlling all documents required by the EMS.					
Authorized personnel review documents and forms for adequacy before use or release.					
The EMR or designee maintains a master list of documents and records.					
Relevant documents are available at the locations where they are needed.					
Obsolete documents are promptly removed from all points of use or otherwise assured against unintended use.					
Obsolete documents retained for legal or preservation purposes are properly identified.					
Company has a procedure for defining responsibility concerning the creation and modification of documents					
Documentation is approved, legible, dated and readily identifiable, maintained in an orderly manner, periodically reviewed, and retained for a specified period.					

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Company has a procedure to identify, maintain, and dispose of environmental records as necessary to demonstrate conformity to the requirements of its EMS and of the ISO 14001 standard. These records include training records, results of audits, and results of evaluations of compliance with environmental legal requirements.					
Each activity responsible for maintaining a record has the responsibility for establishing the method for filing and indexing the records for accessibility.					
The responsible activity is the generator of the record.					
Company records procedure is consistent with corporate record retention procedures.					
Nonconformity and Corrective Actions					
Company has a procedure for nonconformities and corrective and preventive actions defining responsibility and authority for investigating and mitigating environmental impacts.					
Each activity within the company is responsible for identifying specific techniques to: identify the root cause(s); take appropriate corrective or preventive action; and verify effectiveness and prevent recurrence where possible.					
Company reviews the actions taken and implements and <u>documents</u> changes resulting from corrective and preventive action.					
Internal Audits					
Company has a program and procedure for periodic EMS audits.					
The EMR or designee is responsible for planning, scheduling and implementing internal EMS audits.					
An EMS audit team will be formed whose membership has no responsibility within the activity to be audited.					

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An EMS audit schedule will be developed for each activity to be audited. Audit frequency is determined on priority basis that accounts for previous audit results and the relative importance of the activity, and is not be less than once per year for each activity.					
The EMS audit team has established a checklist of questions relating to the EMS. These questions are reviewed and amended as necessary based on audit findings and other factors.					
During the audit, the EMS audit team records audit observations, indicating items checked, individuals interviewed, any concerns identified and any corrective or preventive actions completed during the audit.					
The audit team documents its findings using an audit findings form.					
The area representatives address the corrective and preventive action sections within the specified time limit and return the information to audit team and EMR.					
The EMR notifies company management of potential regulatory non-compliance.					
The audit team reviews corrective actions and confirms proper implementation either by a subsequent check or during the next audit.					
The EMR or designee submits audit summaries for management review.					
Management Review					
Management reviews are conducted by the EMR and the management committee.					
The EMR schedules these reviews at least once each year and outputs are documented including required actions and changes to the EMS.					

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The review addresses all applicable components of the <i>EAF Steel Company</i> EMS, including among other information: <ul style="list-style-type: none"> • Results of environmental management system audits, • Communication from external interested parties, • The performance of the environmental management system, • The extent to which objectives and targets have been met, • Status of corrective and preventive actions, • Follow-up actions from previous management reviews, • Changing circumstances, and • Recommendations for improvement. 					

Audit Team Leader Signature: _____