

EF-13A1

Auditor Preparation Sheet (Fill out 1 Form / Area to Be Audited)

| | | |
|----------------------|--|---------------------------|
| Facility Area | | Potential Auditees |
| Auditee Names | | |

| # | EMS Elements | Check one Box for Each Element | | | | Comments - Docs, SOPs, Programs, Issues, etc (Attach Notes on Separate Sheet if Necessary) | Open CARs? |
|-------|----------------------------------|--------------------------------|--------------------------|---------------------------------|--|---|--------------------------|
| | | NA | Awareness | Other Auditee Responsibilities? | | | |
| 4.1 | General | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | - Does Auditee define Scope? | | <input type="checkbox"/> |
| 4.2 | Environmental Policy | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | - Does Auditee define Policy, or - Active in setting up company operations to achieve it; or - Reviewing it, or - Setting up trainings for it | | <input type="checkbox"/> |
| 4.3.1 | Environmental Aspects | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | -Are significant Aspects in Area ? - Are significant aspects controlled in this area? - Have all env aspects in this area been identified (walkthrough) ? | | <input type="checkbox"/> |
| 4.3.2 | Legal & Other | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | - Auditee Active in maintaining compliance? - Does Auditee have to access req'ts - Does Auditee have to follow permit limits, or legal req'ts (SOPs, WI's) ? | | <input type="checkbox"/> |
| 4.3.3 | Objectives, Targets & Programs | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | - Is Auditee Responsible or involved in achieving an Objective or target ? - Does job affect reaching T/O's ? | | <input type="checkbox"/> |
| 4.4.1 | Resources, Roles, Responsibility | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | - Does Auditee appoint EMS Personnel or allocate resources? | | <input type="checkbox"/> |
| 4.4.2 | Competence, Training & Awareness | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | - Does Auditee have to be competent (for sig aspect)? - Is auditee responsible for documenting trainings & competency records ? - Auditee have comments on Env Trainings (OFIs, etc) | | <input type="checkbox"/> |
| 4.4.3 | Communication | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | - Is Auditee involved in making Internal or external communications? | | <input type="checkbox"/> |
| 4.4.4 | Documentation | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | - Is auditee Involved in establishing or maintaining documents? | | <input type="checkbox"/> |
| 4.4.5 | Control of Documents | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | - Is auditee involved in Doc Control System? - Does auditee have access to documents (WI's, SOPs) ? | | <input type="checkbox"/> |

EF-13A1

Auditor Preparation Sheet (Fill out 1 Form / Area to Be Audited)

| | | |
|----------------------|--|---------------------------|
| Facility Area | | Potential Auditees |
| Auditee Names | | |

| # | EMS Elements | Check one Box for Each Element | | | Comments - Docs, SOPs, Programs, Issues, etc (Attach Notes on Separate Sheet if Necessary) | Open CARs? |
|-------|---|--------------------------------|--------------------------|---------------------------------|---|--------------------------|
| | | NA | Awareness | Other Auditee Responsibilities? | | |
| 4.4.6 | Operational Control - Work Instructions | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | - Does auditee have to following EMS Work instructions for Sig Aspects? - Does auditee recording EMS data, follow EMS checklists, etc ? | <input type="checkbox"/> |
| 4.4.6 | Operational Control - Contractors | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | - Is auditee responsible for making EMS communications to contractors,or - verifying contractor has EMS training? | <input type="checkbox"/> |
| 4.4.7 | Emergency Prep and Response | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | - Is auditee an Emergency Coordinator? - Is auditee is on Response Team, or - Involved in developing prevention strategies, etc | <input type="checkbox"/> |
| 4.5.1 | Monitoring and Measurement | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | - Does auditee record EMS data, or - Determining EMS Performance,or - Perform EMS Calibrations? - Are there SOPs, Wis covering monitoring / calibrations ? | <input type="checkbox"/> |
| 4.5.2 | Evaluation of Compliance | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | - Is auditee involved in performing legal compliance evaluations, or - providing expertise in compliance issues, or - working with external regulatory consultants? | <input type="checkbox"/> |
| 4.5.3 | Non-Conformity, Corr & Prev. Actions | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | - Does auditee manage CAR / PAR system, or - Actlvely involved in CARs, or - In documenting CARs? | <input type="checkbox"/> |
| 4.5.4 | Control of Records | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | - Is auditee responsibilities for one or more EMS records (accessing, creating, retaining)? - Hardcopy OR electronic records? | <input type="checkbox"/> |
| 4.5.5 | Internal Audit | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | - Is auditee on the audit team ? - Lead Audits? - Designs Audits? | <input type="checkbox"/> |
| 4.6 | Management Review | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | - Does Auditee participate in Management Reviews | <input type="checkbox"/> |