

US EPA ARCHIVE DOCUMENT

Pre-Evaluation - EMS in Permitting

Please circle the program area you work in: Land and Waste Management---Air Water---Environmental Services-----EQC Admin

The EMS in Permitting training is to provide participants with detailed information on the environmental management systems (EMS), auditing the EMS and the relation of the EMS inspections with environmental permitting and regulatory programs. The result of this pre-workshop evaluation will not be identified with the person completing the evaluation.

I. Definitions: Circle the letter (A or B) that best describes the term. If you don't know or unsure, circle--C

1. Auditor

- A. Person competent to conduct audits
- B. Person who has been through ISO 14001 EMS training
- C. Don't know

2. Compliance

- A. Meeting regulatory requirements
- B. Meeting EMS requirements
- C. Don't Know

3. Stakeholders

- A. Interested parties that have an investment, responsibility, connection in some manner where the organization can affect their professional, business, or personal life.
- B. Members of the community Chamber of Commerce who are certified to ISO 14001.
- C. Don't Know

4. Conformance

- A. Being in conformance with a standard, e.g. ISO 14001, or ISO 9001.
- B. Being in conformance with regulatory requirements
- C. Don't know

5. Environmental Policy

- A. Overall intentions and direction of an organization related to environmental performance
- B. A statement made by the organization whose employees approve before publishing.
- C. Don't know

II. True (T) or False (F) or Don't Know (dk)

- 6. The environmental policy supports environmental regulatory permits
- 7. The role of regulatory compliance in the EMS is not related to environmental aspects
- 8. Training is not required in an EMS or permitting requirements
- 9. A compliance audit is only required for internal purposes
- 10. Management Review within the EMS is not required to review regulatory compliance issues within the organization
- 11. Other requirements within the EMS are related to permitting
- 12. Objectives and Targets are required by an EMS, but the organization does not have to consider regulatory requirements
- 13. EMS audits are required by ISO 14001
- 14. The internal auditor requirements of ISO 14001 do not state the auditor must be trained.
- 15. Audit types are first party, second party, and third party
- 16. A regulatory compliance audit is considered a type of audit
- 17. An EMS documentation audit is essentially the same as a permit review.
- 18. As an EMS auditor you must understand permitting requirements
- 19. An auditor's role is to examine the management system to find objective evidence of conformance to documentation
- 20. Sampling is necessary in permit reviews and EMS audits

Situations: Are the situations in conformance? Circle your answer. If you are unsure or don't know circle DK

21. Yes – No – DK An EMS auditor interviews the environmental manager regarding their development of objectives and targets. The environmental manager states that “the organization has its objectives and targets documented, but does not have a procedure in place.
22. Yes – No – DK The department has implemented new equipment to monitor their wastewater discharge to the river. However, the environmental manager admits that the department has never tested its emergency response procedures.
23. Yes – No – DK The manager of the organization’s internal auditor program told the external auditing team that internal audits results did not have to provided to management.
24. Yes – No – DK After reviewing the compliance records of the organization the auditor noted that environmental compliance evaluations were conducted annually by the organization.
25. Yes – No – DK The EMS auditor interviewed three of the organization’s personnel who were working at the wastewater treatment plant. Wastewater effluent was identified as a significant impact due to potential pollution to the river below the plant if operations were not controlled. The three operators had not been trained on the organization’s EMS or significant impacts.

