Industrial Performance Services

Industrial Tubular Catalyst Services

Audit and Inspection Procedure

January 2023

Instructions for developing and completing the Audit Checklist:

Please Print These Instruction Pages for Reference and Be Sure to Delete When the Checklists Are Complete.

A. Developing a Checklist

1. Identify Requirements

Your first step in identifying requirements is to fully comprehend the audit objective and scope as well as the context of the audit.

Next, determine the relevant national safety and operational requirements by looking up regulations, standards, orders, and notices as well as related guidelines in manuals, handbooks, etc. The requirements should be as narrow and focused as possible. For example, if you are auditing compliance with issuance of weather notices, you would review weather-related requirements. Once you have identified a relevant requirement, enter it in the **Requirement** field of the Audit Checklist. One checklist should be used for each requirement.

> **NOTE 1:**   You can copy and paste requirements directly from web-based documents into the Audit Checklist.

> **NOTE 2:**   Each audit is different, as are the requirements on which the audit is based. The level of difficulty in identifying the appropriate requirements can vary depending on the complexity, scope, and objective of the audit.

2. Develop Checklist Questions

Fully understanding the audit objective and scope will help you develop the best checklist questions for determining compliance. First, ask yourself these questions:

- What am I specifically auditing?
- What are the reasons for the audit and why is it necessary?

The checklist questions should be worded to be answerable only by "yes," "no," or "not-verifiable." The questions should be explicit, evidence-based, and written in a way that elicits answers clearly indicating compliance or noncompliance with the requirement.

For example, if you are trying to determine compliance with a directive which states, *Facility Managers shall ensure operational personnel are briefed on the contents of this notice prior to the effective date*, then the following questions would be appropriate:

Question 1:   *"Is there evidence indicating that operational personnel were briefed on the contents of **Directive XXX**?"*

Question 2:   *"Is there evidence indicating that the briefing was delivered prior to the effective date of [insert date]?"*

3. Describe Audit Sampling

Describe the auditing techniques you will use, i.e., interviews, observations and/or review records. Be specific. For example, "*auditors will observe 2 hours of operations at each facility.*"

Since it is impractical to visit all facilities and review all documentation, the audit is based on a representative sample taken from the system. In this section, if you are reviewing records, you must answer the following questions.

- What does your representative sample look like, i.e., what percentage of the population will you look at?
- What is your sampling procedure?
- Where is the evidence you need to review to determine compliance?
- What records will you review?

B. Completing the Checklist

1. Record Evidence and/or Observations

In addition to determining compliance with the requirement, you should complete the **Evidence and/or Observation** field of the checklist for each question. You must provide a brief explanation of how you determined compliance. Be sure to record specific information about what you reviewed and observed (e.g., name, document title, date, time, operation observed, position, etc.). You should also consider peripheral issues that may be relevant to (but not necessarily mandated by) the specific requirement in the checklist. Or you may find safety critical or other items that should be recorded here, too.

Here is an example of an explanation of how we determined compliance:

> At the **Name of Facility**, we looked at **Number of employee training records** and found that they all had the **mandatory training requirement** for **Example of requirement** by the deadline **Date**.

Here is an example of recording information appropriately:

> At **Name of Facility**, we reviewed the **Guideline, Procedure, or Policy** dated **Date** for guidelines on **Example**. We found it on **page Number, Chapter Number, paragraph Number (If applicable).** They were sufficient.

Here is an example of an observation:

> We observed that the **Guideline, Inspection, Procedure, or Policy** was haphazardly placed on a table with other documents. We advised the **Employee Position** that these **Guideline, Procedure, or Policy** should be prominently placed at a location where all personnel can see them.

2. Additional Comments

Use this space for additional comments or in the event you don't have enough room in the evidence and/or observation box above.

3. Complete Checklist

The Audit Team Lead should work with Team Members to complete all their checklists before leaving the audited location.

Checklist Number: _____

Requirement:		
Insert specific requirement (copy and paste from standard, directive, regulation, etc.)		
Checklist Questions	**Compliance verified? (Yes or No)**	**Evidence and/or Observations**
1.		
2.		
3.		
4.		
5.		
Audit Sampling Methods (where to look and how many to look at, find, discuss or interview)		
Additional Comments (use additional pages as needed)		

All IPS★ITCS Competency Assessment Forms, Competency Checklists, Environmental Aspects and Impacts, Risk Assessment Forms, and Audit Forms can be found at the back of each respective Procedure.

Revision History

Rev	Rev Date	Rev By	Approved By	Description
1.0	1.3.2022	Shayne Torrans	Shayne Torrans	Initial Procedure Document
1.1	12.20.2022	Shayne Torrans	Shayne Torrans	Format Revision

Approvals:

Procedure Owner

_____   _____
Print Name   Date

_____
Signature

Competency Assessment

No.	Questionnaire	C/NYC
Q1		
A1		
Q2		
A2		
Q3		
A3		
Q4		
A4		
Q5		
A5		

Enclosed Attachments	
Risk Assessment	☑
Environmental Aspect and Impact	☑
Training and Competency	☑
Measure and Evaluation Tools	☑

Competency Checklist

To be filled out by Trainer and signed by Employee, Assessor and Supervisor before being returned to the HSEQT Manager for recording purposes.

Procedure	Competency	Date	Competent YES / NO	Employee Signature

(Please tick appropriate box)

This employee is competent in performing the job.

This employee has not attained the competency level.   *

* *If the employee has not attained all competency levels, the General Manager must assess the action to be taken, provide an extension of training or alternative action as listed below.*

Alternate action to be taken: _____

Signed By   Employee: _____   Date: _____

Trainer: _____   Date: _____

Assessor: _____   Date: _____

Regional Manager: _____   Date: _____

Environmental Aspects and Impacts
Identified Environmental Aspects and Impacts

The following table is a summary of the likely environmental aspects and impacts that may be identified during site inspections. The significance of each impact needs to be assessed using the Risk Assessment Model.

Activity	Aspect	Impact
Purchasing & Administrative Work	Consumption of goods	Conservation of natural resources
	Consumption of energy (eg. Electrical equipment and facilities)	Release of greenhouse gases and atmospheric pollution; Consumption of natural resources; Habitat loss
	Generation of waste (eg. Paper)	Consumption of space for waste disposal; Habitat loss
Climate Control	Consumption of energy	Release of greenhouse gases and atmospheric pollution; Consumption of natural resources; Habitat loss
	Generation of noise	Disturbance to community; Habitat loss
Cleaning of – offices / vehicles	Storage, use and release of chemicals	Contamination of air, water or soil; Risk to human health
Transport (Fleet vehicles / staff travel)	Consumption of energy	Release of greenhouse gases and atmospheric pollution; Consumption of natural resources; Loss of habitat at all stages of generation; Light pollution
	Consumption of goods (eg. Oil)	Consumption of natural resources; Generation of waste; Habitat loss; Biodiversity impacts
	Generation of waste (eg. Oil)	Consumption of space for waste disposal; Potential contamination of water or soil; Habitat loss
	Exhaust emission	Release of greenhouse gases and atmospheric pollution
	Use of dangerous goods (eg. Batteries)	Potential contamination of air, water or soil; Risk to human health
	Generation of noise	Disturbance to community; Habitat degradation
Operations		

Risk Assessment

Step No: Logical sequence	Sequence of Basic Job Steps documented in the Procedure, Work Instruction and project plans. Break down Job into steps. Each step should be logical and accomplish a major task.	Potential Safety & Environmental Hazards/Impacts at the site of the Job Identify the actual and potential health and safety hazards and the environmental impacts associated with each step of the job.	Risk Rating Refer to the risk matrix or HSEQT.PRO. Risk Mgt	Recommended Corrective Action or Procedure *Determine the corrective actions necessary to reduce the risk to as low as reasonably practical (ALARP) refer to HSEQ.PRO.Risk Mgt. The risk must be rediced or controlled to ALARP before work commences.* Document who is responsible for implementing the controls to manage each hazard identified.	Risk Rating refer to the risk matrix or HSEQT.PRO.Risk Mgt
1.					
2.					
3.					
4.					
5.					

Audit

Process: insert//			Date:	Audited by:	
Procedure: Insert //			Location of Audit:	Area Mgr/Supervisor:	

Item	Question	Evidence Sited	Comments	Conformance Score 0,3,5
1.				
2.				
3.				
4.				
5.				
6.				
7.				

AUDITOR'S SIGNATURE:	CONFORMANCE SCORE: / 25	0 – Non-Conformance
		3 – Continuous Improvement Opportunity
SAFETY REP'S SIGNATURE:	CONFORMANCE %:	5 – Total Conformance