



	<b>Audit Prework</b>		
	Request paperwork (manual and CAWMP) and confirm on-site audit date		
	Develop detailed schedule at least 1 week prior to on-site audit		
	Customize checklist as appropriate		
	Prepare for opening meeting		
	<b>Paperwork Review</b>		To be completed prior to site visit
PR-1	Does policy meet all commitment requirements?	4.2	
PR-2	Is policy a controlled document?	4.4.5	
PR-3	Review manual and/or procedures to ensure each section answers the following questions for all elements?	4.4.4	
PR-4	Who does it?	4.4.1	
PR-5	How often?	4.4.4	
PR-6	How is it done?	4.4.4	
PR-7	What records are kept?	4.4.4	
PR-8	Is documentation controlled?	4.4.5	

	<b>Farm Owner</b>		
FO-1	What is the history of the farm site? Any prior owners/operations? How old are the structures? Any retrofit work req'd?	4.2/ 4.5.2	Commitment to pollution prevention
FO-2	What considerations did you make when choosing to raise pigs here? (acreage, location to receptors)	4.2	Commitment to pollution prevention
FO-3	What, if any, close receptors did you have to consider? (neighbors, schools, churches, etc.)	4.3.2	Knowledge of legal requirements
FO-4	How did you design and permit your farm?	4.3.2	Looking for internal or external dependence
FO-5	Can you describe how your environmental policy was developed?	4.2	Looking for active participation and commitment
FO-6	Describe in your own words what the policy means and a couple examples that demonstrate your commitment?	4.2/ 4.4.2	Looking for understanding and examples of commitments
FO-7	What do you consider your largest environmental responsibilities?	4.3.1	Looking for significant aspects and/or legal requirements
FO-8	What is your role in the environmental management system?	4.4.1	Set direction, provide resources, review system
FO-9	What, if any, complaints have you had? What do you do when you have a complaint?	4.4.3	Procedure for receiving and documenting communication from interested parties
FO-10	What, if any, information do you share with the public?	4.4.3	Looking for decision regarding sharing of additional information; policy sharing method
FO-11	What improvements are you working on? What is the current status?	4.3.3	Looking for improvement objectives and targets
FO-12	What information do you use to evaluate the system's suitability, adequacy, and effectiveness?	4.6	Compliance history, complaints, benchmark data
FO-13	Let me see the minutes of your last management review?	4.6	Validate that agenda included required topics and within specified time frame.
FO-14	Do you utilize any external contractors? If so, show me the records where you have communicated your environmental requirements	4.4.6	Review record to ensure requirements such as egress, communication and emergency response are covered
			NOTE: Contractors are often used to assist with building construction/maintenance, earthwork, mortality removal and grain delivery.

	<b><i>Environmental Manager</i></b>		
EM-1	What is your role in the environmental management system?	4.4.1	Looking for designated management representative's responsibilities
EM-2	How did you determine the significant aspects of the operation? Who participated? What activities were evaluated? How will it be kept up-to-date?	4.3.1	Check process described against manual/procedure; did it include prior activities?
EM-3	How do you determine the legal requirements? How do you stay current with updates?	4.3.2	Check process described against manual/procedure
EM-4	Show me the latest version of the 202 regulations, the farm permit or COC.	4.3.2	Check accessibility of regulations
EM-5	Walk me through the current CAWMP.	4.3.2	Check that this is current and make a copy or keep as a reference document in the field
EM-5a	Describe your nearest receptors and any buffer zones you must comply with.	4.3.2	Checking understanding of regulations
EM-6	Show me your documented objectives and targets. Explain how they were developed.	4.3.3/ 4.2	Validate that these are improvement (not maintenance) objectives and that they are on track
EM-7	Show me the programs to achieve the objectives and targets	4.3.4	Validate that programs are well thought out and on track (any resource issues?)
EM-8	Show me the last two regulatory inspection reports. Are any other compliance checks done?	4.5.1	Validation of compliance reviews
EM-9	For any issues noted in reports, ask to see the corrective actions	4.5.2	Validation of corrective action commensurate with a regulatory inspection finding
EM-10	Review communication procedure and records	4.4.3	Validation of internal and external communication process is as described
EM-11	Review document control procedure	4.4.5	Review document control procedure covers all types of documents
EM-12	Review records management procedure	4.5.3	Review records retention schedule for key records - training, audits, corrective actions, regulatory, etc.
EM-13	Review emergency response procedure and test results	4.4.7	Review process and practice records
EM-14	Review corrective action procedure and records	4.5.2	Review corrective action process applies to all types of issues - maintenance, audits, inspections
EM-15	Review EMS audit procedure	4.5.4	Review that schedule is based on env. import. and prev. audits and is comprehensive (all elements)
EM-16	Review change management procedure	4.3.4	Looking for communication and preventive approach to changes in production volume, weather, technology, etc.

	<b>Farm Manager</b>		
FM-1	What type and size of operation do you have?	4.3.2	Looking to verify against permit and production data
FM-2	How many employees work here? How long have they been here?	4.4.1	Looking for staffing plan and turn-over issues
FM-3	How are they trained?	4.4.2	Review training curriculum and records for 25% of staff
FM-4	Is training curriculum a controlled document?	4.4.5	Look for dates and approvals
FM-5	Any language barriers?	4.4.3	Looking for communication/training hurdles - verify documentation is in appropriate languages
FM-6	What is the work schedule?	4.4.1	Looking for logical manning
FM-7	If day-shift only, ask about any precautions for off-shift spills	4.4.7	Looking for alarms or interlocks on recycle system to prevent operation at night
FM-8	Who backs you up when you are away? Have they had additional training?	4.4.1/ 4.4.2	Looking for logical approach and additional training records
FM-9	What are your largest environmental concerns?	4.4.2	Looking for significant aspects such as water usage, odor, mortalities, potential spills, etc.
FM-10	What is the worst spill that could happen inside the fence? What do you do to prevent this? What would you do if it happened?	4.4.7/ 4.4.2	Stop the source, contain the spilled material, call for help, report to authorities
FM-11	What happens if you lose power? What must you do to prevent an environmental emergency?	4.4.7	Looking for back-up power source/generator; do they have an alarm?
FM-12	What do you do when there is a hurricane threat?	4.4.7	Ensure adequate power (generator fuel) and food supply; minimize water usage; watch freeboard
FM-13	Can I see the written emergency response plan?	4.4.5	Verify that plan reflects answers given and that it is a controlled document
FM-14	What is your water usage? How does this compare to the past, to similar farms?	4.5.1	Are they monitoring this key characteristic?
FM-15	Is the water meter calibrated? If so, show me the records.	4.5.1	Looking for measuring of key characteristics with calibrated instruments
FM-16	What water conservation measures have you employed?	4.4.6	Looking for cleaning schedule for houses, watering technology,
FM-17	How do you determine the cleaning schedule for the houses?	4.4.6	Looking for consistent approach (will verify during tour)
FM-18	Who does the cleaning?	4.4.1	Looking for assignments

FM-19	How are they trained?	4.4.2	Review training curriculum, operating procedures and records
FM-20	What records are kept?	4.5.3	Looking for records to validate schedule is followed
FM-21	What is the procedure for mortality management?	4.4.6	Compare against CAWMP (will verify during tour)
FM-22	How is odor controlled?	4.4.6	Looking for housekeeping, ventilation, grounds maintenance, mortality management
FM-23	How is manure collected and transported?	4.4.6	Looking for understanding of system
FM-24	What types of maintenance is done on the system/pits?	4.4.6	Looking for preventive maintenance or periodic visual inspections
FM-25	What records are kept?	4.5.3	Looking for tracking system for recurring problems
FM-26	What do you do if you need additional assistance to fix a problem (like a contractor)?	4.5.2	Looking for identification and elevation of issues
FM-27	Are there written procedures for cleaning, mortality management, etc.?	4.4.5	If written procedures exist, are they controlled?
	<b><i>Facility Walk-about</i></b>		
FW-1	Observe building structure	4.4.6	Looking for leaky roofs, cracks in foundation
FW-2	Observe grounds maintenance	4.4.6	Looking for grass cover and height; standing water or other signs of drainage problems or spills
FW-3	Observe feed storage area	4.4.6	Looking for housekeeping
FW-4	Observe dead box	4.4.6	Looking for housekeeping
FW-5	Observe recycle tanks	4.4.6	Looking for evidence of prev. main. or leaks
FW-6	Observe clean-outs	4.4.6	Looking for height, caps, or leaks

	<b><i>Farm Employee</i></b>		
FE-1	Can you tell me a little about the environmental policy/philosophy around here?	4.2	Looking for knowledge of policy as it applies to them - legal compliance, pollution prev.,
FE-2	What types of environmental issues are related to your job?	4.4.2	Looking for significant aspects
FE-3	What is the protocol for mortalities?	4.4.6	Looking for consistent answer to farm managers
FE-4	What can you do to minimize odor?	4.4.6	Looking for housekeeping
FE-5	What would you do if you saw liquid leaking out onto the ground from the recycle tank?	4.4.7	Looking for consistent answer to farm managers
	<b><i>Inside Farm Observations</i></b>		
IFO-1	Observe inside building housekeeping	4.4.6	Looking for accumulation of excessive dust, cobwebs, functioning ventilation system, etc.
IFO-2	Observe pits	4.4.6	Looking for debris, channeling, solids build-up, etc.

	<b><i>Nutrient Applicator</i></b>		
NA-1	Tell me a little about the environmental policy.	4.2	Looking for policy awareness
NA-2	What is your role in the environmental management system?	4.4.1	Looking for understanding of following the CAWMP, reg. reporting and responding to issues
NA-3	What training have you received for this job?	4.4.2	Should have training for certified OIC - check records
NA-4	What are the most critical environmental concerns related to your job?	4.4.2	Looking for significant aspects such as lagoon level, nutrient application rates, potential run-off
NA-5	What is the worst emergency that could happen?	4.4.7	Looking for lagoon rupture or spray equipment failure
NA-6	What would you do if this happened and you were the first on the scene?	4.4.2	Looking for access situation, stop source, get help, contain spill if possible, notify regulatory
NA-7	What help resources are available to assist you in containing the spill?	4.4.7	Looking for knowledge of vendors or access to additional earth-moving equipment
NA-8	Explain to me how you manage lagoon level.	4.4.6	Looking for freeboard level monitoring frequency and target levels as well as rainfall considerations
NA-9	What are the critical measurements regarding lagoon level management and how do you know they are accurate	4.5.1	Looking for lagoon level measurement technique and calibration; could also discuss rain gauge
NA-10	What records are kept on freeboard?	4.5.3	Check records against tracking reqmt.
NA-11	How do you determine your spraying schedule?	4.4.6	Looking for understanding of seasonal, weather, and crop limitations
NA-12	How do you know the amount pumped is accurate?	4.5.1	Check that times and pressure gauges are calibrated and the nozzle/pressure chart is correct
NA-13	How do you know that you have not exceeded the nutrient loading in the CAWMP?	4.5.1	Looking for understanding of application rate issues (could overapply water or nutrients)
NA-14	How do you know the waste analysis is accurate?	4.5.1	Look at records to ensure they are done by a certified lab and on time
NA-15	How do you take your lagoon sample?	4.5.1	Compare answer against OIC guidance
NA-16	Show me the documented procedure.	4.5.1	Should be in their OIC training manual or CAWMP

NA-17	How do you ensure the soil hasn't been affected?	4.5.1	Look at records to ensure soil samples are analyzed by certified lab and on time
NA-18	How do you take your soil sample?	4.5.1	Compare answer against OIC guidance
NA-19	Show me the documented procedure.	4.5.1	Should be in their OIC training manual or CAWMP
NA-20	What type of preventive maintenance is performed on the spray equipment?	4.4.6	Looking for preventive approach, not just wait until it breaks
NA-21	What would happen if you exceeded your PAN?	4.4.2	Looking for environmental and legal consequences of exceedance
	<b><i>Lagoon/Sprayfield Observation</i></b>		
LSO-1	Observe lagoon level	4.4.6	Looking for measurement within regulatory limits
LSO-2	Observe lagoon integrity	4.4.6	Looking for slope of berm, grass cover, excessive foliage, erosion, rodent holes, seepage, etc.
LSO-3	Observe spray fields	4.4.6	Looking for correct crops, coverage, standing water, buffer zones
LSO-4	Observe hay storage	4.4.6	Looking for proactive crop management plan - hay quantity and condition

	<b>Training</b>		
TR-1	Review how training and awareness needs are evaluated	4.4.2	Looking for logical approach by job classification, role in EMS, etc.
TR-2	Review orientation and OJT training curricula for farm employees for inclusion of necessary topics	4.4.2	Looking for policy awareness, importance of following procedures, aspects, ER, consequences
TR-3	Review curricula for farm managers for inclusion of critical roles in EMS	4.4.2	Looking for focus on policy, aspect mgmt., emergency response, doc. control and corr. action
TR-4	Review curricula for nutrient applicators/OIC	4.4.2	Looking for internal or external training on calibration, maintenance, sampling and records
TR-5	Review training records for at least one relatively new employee, one recently promoted/transferred employee,	4.5.3	Looking for complete record of training - when, duration, curricula covered, etc.
TR-6	Review process for evaluating training effectiveness and job competency.	4.4.2	Looking for logical approach to evaluating job knowledge and skills for all levels of mgmt.