



Specialty Technical Publishers
PRACTICAL COMPLIANCE & AUDIT SOLUTIONS

Sample

International Environmental, Health & Safety Audit Protocols



Updated by:

STC[®]

EHS Solutions for Business Results

iapc[®]

International Environmental, Health & Safety Audit Protocols

International Environmental, Health & Safety Audit Protocols

**An innovative tool for
assessing compliance with
environmental, health and
safety legislation for many
jurisdictions worldwide**

Users of These Audit Protocols Include

- **Multinational companies**
- **Multi-sector organizations**
- **Supply chain operations**
- **Corporate-level EHS managers and policy setters**
- **EHS auditors**
- **And many more...**

Features of These Audit Protocols

- **Developed and field-tested by EHS regulatory experts**
- **Profile each country's EHS legislation, administration, and enforcement practices**
- **List, in every topic module, key legislation covered**
- **Help demonstrate diligence in compliance efforts**

Features of These Audit Protocols

- **Allow auditors to expedite their assessment**
- **Save time and reduce compliance and audit costs**
- **Applicability Tables**
- **Pre-audit Preparation**
- **Rulebooks with Guide Notes**
- **Audit Quick Check Scoresheets**

Comprehensive Topic Areas

- **General environmental**
- **Air emissions**
- **Solid and hazardous waste**
- **Water resources**
- **Above and below ground tank management**
- **Community noise**
- **PCBs**
- **Asbestos**
- **General health and safety**

Comprehensive Topic Areas

- **Equipment, machine and electrical safety**
- **Material handling and general in-plant safety**
- **Fire safety**
- **Transport of dangerous goods**
- **Industrial hygiene**
- **Chemical management**
- **Construction work site safety**

Features – Introduction

Provides a thorough discussion of the country's system of government, legislative process, environmental, health and safety authorities, liability and enforcement, audit privilege and reporting requirements

Sample Introduction

JAPAN – ENVIRONMENTAL, HEALTH AND SAFETY AUDIT PROTOCOL

PART 1: INTRODUCTION

Preface

This protocol has been prepared to reflect the principal environmental, health and safety (EH&S) legislation that applies to manufacturing facilities located in Japan.

This introductory section begins with a profile of Japan, followed by a general summary of how EH&S legislation is developed, administered, and enforced. This is followed by a discussion of various topics, including the following:

- Enforcement
- Audit Privilege
- Contaminated Land
- Reporting Obligations Concerning Spills and Releases.

Various regulatory and other country-specific informational sources and contacts are also presented in this section. The section concludes with a description of the organization of the audit protocol in its entirety.

Country Overview

A map of Japan can be accessed at: <https://www.cia.gov/library/publications/the-world-factbook/geos/ja.html> (last accessed in April 2017). Japan is divided into 47 prefectures, as listed in Table 1-1.

Government

Japan is a constitutional monarchy and is governed according to the provisions of a constitution that came into force in 1947. Under the constitution, the Emperor is the symbolic head of state and has only ceremonial functions. The throne is hereditary and descends only through the male line of the imperial family. Changes to allow a female emperor are being debated.

Executive power is vested in a Cabinet, headed by a Prime Minister, who is the head of the political party in power. The Prime Minister selects most of the members of Cabinet from amongst the members of the national legislature (Diet), subject to the approval of the Diet.

Features – Applicability Table

Uses multi-level questions to quickly determine which sections of the protocol apply to your operations

Sample Applicability Table

FRANCE – SOLID AND HAZARDOUS WASTE

PART 1: INTRODUCTION

Applicability of This Module

Use the following General Applicability Checklist to determine whether a rulebook and its sections apply to your operation.

If you answer YES to the rulebook question, the rulebook applies to you *unless you answer YES for a rulebook exemption*.

Once you determine that the rulebook does apply to your operation, you must answer the section questions. If a section question does not exist, then that section applies if the rulebook applies. If you answer YES to a section question, that section applies to you *unless you answer YES for an exemption from that section*. If you answer YES to a rulebook or section exemption, then the rulebook or section does not apply.

GENERAL APPLICABILITY CHECKLIST	Applies		Exempt
Rulebook: Solid and Hazardous Waste			
RULEBOOK: Does the facility conduct activities or operations that result, or could result, in the generation, management, transport, or collection of waste?	Y	N	
.....	Q	Q
Section 1: Is the facility a Classified Installation that is subject to authorization?	Y	N	
Note: See the module for “General Environmental” (Section 2.0 of this protocol) for additional information regarding Classified Installations and associated authorizations, and see rulebook section 2 (protocol Subsection entitled, “Classified Installations”) in the module for “Air Emissions” (Section 3.0 of this protocol) for a list of exclusions to the scope of this rulebook section (protocol subsection).	Q	Q	
.....		
Section 2: Does the facility have an internal installation for the storage of non-hazardous waste?	Y	N	
Note 1: “Non-hazardous waste” means any waste that has none of the hazardous properties listed in Annex of the Directive 2008/98/EC of 19 November 2008 as amended (see Table 4-1). The Directive is available through the European Union legislation website also indicated in Key Legislation and Regulations of this Section.	Q	Q	
Note 2: “Internal Installation” means an installation operated by a producer of waste for his own waste, on the site of waste production.			
.....		

Features – Key Legislation and Regulations

**Lists EHS statutes,
regulations, codes of practice,
decrees and/or standards that
are cited in topic modules**

Sample Key Legislation and Regulations

Manitoba - Above and Below Ground Tank Mgmt.: Introduction

Key Legislation and Regulations

Notes: Canadian federal legislation can be accessed by searching the alphabetical lists of Consolidated Statutes by Title and Consolidated Regulations by Title (in the left-hand menu bar) at: <http://laws-lois.justice.gc.ca/eng/> (last accessed in October 2017).

Manitoba legislation can be accessed by searching the alphabetical lists of consolidated C.C.S.M. Acts and consolidated regulations at: <http://web2.gov.mb.ca/laws/> (last accessed in October 2017).

Key legislation and regulations covered in this protocol are noted as follows:

Canada (Federal) Legislation

There is no federal Canadian legislation on this topic. This topic is regulated at the provincial level.

Manitoba Legislation

Storage and Handling of Petroleum Products and Allied Products Regulation [M.R. 188/2001], December 17, 2001. – The Regulation establishes the requirements for aboveground and underground storage tanks that contain petroleum products and allied petroleum products. The requirements include, for example, obtaining a permit for construction/alteration or operation of a tank, as well as conducting leak detection testing.

Environmental Code of Practice for Aboveground and Underground Storage Tank Systems Containing Petroleum and Allied Petroleum Products, published by the Canadian Council of Ministers of the Environment, 2003, Reference Number 1326 (“Code of Practice”) – Parts of this CCME Code of Practice relating to the design and operation of aboveground and underground storage tanks and piping are adopted by reference in the *Storage and Handling of Petroleum Products and Allied Products Regulation, M.R. 188/2001*.

Features – Pre-audit Preparation

Lists information to be gathered and/or reviewed prior to conducting an audit

Sample Pre-audit Preparation

SPAIN – GENERAL HEALTH AND SAFETY



PART 2: PRE-AUDIT PREPARATION

Information to consider getting in advance:

- Description of facility activities.
- Facility site map.
- Numbers of permanent and temporary employees and work hours.
- Identification of prevention services (e.g., internal personnel, external consultant).

Information to have facility personnel prepare or gather in advance:

- Records relating to the occupational risk assessments and plan for the prevention of work-related risks.
- Documentation concerning the assessment of possible emergency situations and implementation of the corresponding emergency measures.
- Training documentation for training in prevention-related matters for new workers and when there are changes in the worker's duties, or in the facility's technologies or equipment.
- Audit report of an internal prevention service and records relating to corrective action.
- Internal or external prevention service annual report and schedule/program.
- Documentation on qualifications of prevention service technical director.
- Listing of workers who are prevention delegates and health and safety committee members, if applicable.
- Notifications about work-related harm to workers.
- Results of periodic monitoring of work conditions and worker activities.
- Documentation on health monitoring conducted.

Features – Rulebook

Provides a comprehensive set of requirement statements or questions, plus guide notes with additional details such as definitions and specific compliance guidance

Sample Rulebook

ITALY – COMMUNITY NOISE

PART 3: RULEBOOK

Notes: Temporary activities, such as construction, whenever they require the use of noisy machinery and/or facilities, must be authorized by the Mayor, who establishes the appropriate prescriptions for limiting noise pollution after consulting with the Local Health Agency. [Decree of the President of the Council of Ministers of 1 March 1991, Article 1(4)]

1. General Requirements

1.1 When submitting an application for a construction permit for a new industrial facility, did the facility provide suitable documentation that predicted the acoustic impact of the new facility upon completion of construction? [*Law No. 447 of 26 October 1995, Article 8.4*]

Guide Note

- If the facility employs less than 250 workers and has annual sales not exceeding 50,000,000 Euros (or an annual balance sheet not exceeding 43,000,000 Euros), the documentation can be replaced by a statement declaring that the facility is expected to abide by the applicable noise limits. [*Presidential Decree No. 227 of 19 October 2011, Article 4.2*]
- The documentation must be provided in accordance with *Decision No. 445 of 28 December 2000* on the regulatory provisions for administrative documentation. [*Law No. 447 of 26 October 1995, Article 8.5*]

1.2 For the purpose of identifying the maximum sound level the facility may generate, has the facility determined in which zone (see Table 7-1) the Regional Authority has classified it as being located? [*Decree of the President of the Council of Ministers of 1 March 1991, Article 2*]

1.3 Does the facility have procedures in place to ensure that it does not exceed the maximum limit for equivalent sound level established for the facility's zone classification? [*Decree of the President of the Council of Ministers of 1 March 1991, Article 2*]

Guide Note

- Maximum equivalent sound levels according to the various zones are listed in Table 7-2.

Features – Audit Quick Check Scoresheet

Enables quick recording of a facility's compliance status for each requirement

Audit Quick Check Scoresheets are customizable

Sample Audit Quick Check Scoresheet

ITALY – COMMUNITY NOISE

PART 4: AUDIT QUICK CHECK

Use the following Audit Quick Check to determine whether a rulebook question complies, does not comply or is not applicable to your operation. For more details or to check if there are Guide Notes related to a question, simply click the question number to be taken back to the Rulebook.

SITE: _____ DATE: _____

ASSESSOR: _____

1. General Requirements	N/A	Complies	Does not comply
1.1 When submitting an application for a construction permit for a new industrial facility, did the facility provide suitable documentation that predicted the acoustic impact of the new facility upon completion of construction? [Law No. 447 of 26 October 1995, Article 8.4]	q	q	q
Comments:			
1.2 For the purpose of identifying the maximum sound level the facility may generate, has the facility determined in which zone (see Table 7-1) the Regional Authority has classified it as being located? [Decree of the President of the Council of Ministers of 1 March 1991, Article 2]	q	q	q
Comments:			

Formats

- **STP Online single-user***
- **STP Online multi-user***
- **Multi-user through EHS risk management systems**

*Includes **STP Xcelerator**

Thank You

for reviewing this sample of
***International Environmental,
Health & Safety Audit Protocols***



Specialty Technical Publishers
PRACTICAL COMPLIANCE & AUDIT SOLUTIONS

Contact Information

- Toll Free: 1-800-251-0381
- Phone: 1-604-983-3434
- Email: stpsales@stpub.com
- Visit: www.stpub.com

Related Publications

- ***[U.S.] Environmental Auditing: Federal Compliance Guide***
- ***[U.S.] Environmental State Differences Summaries & Checklists***
- ***[U.S.] OSHA Auditing: Federal Compliance Guide***
- ***[U.S.] OSHA State Differences Summaries & Checklists***
- ***ISO 14001:2015 Environmental Management Systems***

About STC

Specialty Technical Consultants is a management consulting firm working globally to help clients enhance EHS performance, uncovering opportunities to increase efficiency and reduce costs.

About STP

Specialty Technical Publishers is a premier provider of comprehensive technical guides for compliance and risk reduction, serving North American and global business leaders.

STC-STP Partnership

In partnership with STC, STP makes International Environmental, Health & Safety Audit Protocols available to both the International Audit Protocol Consortium® (IAPC) and the marketplace. These Audit Protocols combine STC content with unique STP applicability and reporting features. STC and STP promote excellence in global auditing and EHS management.