

Duty Of Care Audit

Audit Introduction

At this stage the auditor(s) must introduce themselves and briefly outline the requirements of the audit and what will be expected of the company/personnel being audited and the expected duration of the audit, if possible.

The objective of the audit is to protect people and the environment from managed waste. It does this through creating an "audit trail" of responsibility for the waste.

In order to comply with this audit to a satisfactory level the following section should be completed during the audit without any Non Conformities listed. Should any Non Conformities be noted then the audit cannot be closed until rectified and there is a possibility that work might be suspended until a satisfactory level of compliance in the relevant area is reached. In some cases the auditor may wish to return to the site to ensure compliance status has been achieved.

Clause No.	Observation (please tick)	Non Conformity (please tick)	Comments: (what is needed to comply?)	Date To Be Rectified: (must be agreed)
NA	NA	NA	Carriers Licence was due to expire one week after this Audit was completed. Company did supply a letter from SEPA confirming re-registration and were asked to forward a copy of the new Licence as soon as they received it. Company was in full agreement to comply.	Will copy be issued as soon as SEPA have sent it out.

Audit Conclusion

Following the audit will MITIE be doing business with the organisation?	Notes: Yes
Organisations response:	Notes: NA

Company Details

Name of company audited:	Shred-It (East of Scotland) Ltd 161 Cocklaw Street Ketly Scotland KY4 0DH <small>(Include full address and post code)</small>	Date of audit:	10/05/2011 <small>(Must be entered)</small>
Contact information:	Henry Barge Managing Director Tel: 01383 611 210 FAX: 0133513 303 <small>(Include all relevant Tel and Fax numbers, email address, website address(s) etc.)</small>		
Personnel involved in audit:	Main auditor(s): Bruno P Bernacchi National Compliance Manager 0141 613 7838 07979702721 brbe@mitie.com <small>(Name all people involved in the audit process complete with their relevant positions and or contract information, where possible)</small>		
Activity:	Confidential Paper and Media Destruction. <small>(What activity do the above named company undertake on behalf of MITIE or a client of MITIE. Be as descriptive as possible)</small>		

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Audit Body

This section contains the main questions required to complete the audit, however the auditor(s) should pursue any line of questioning they feel appropriate even if not specifically asked in this document.

Adequate levels of evidence should be collected during the audit as proof of compliance. The auditor(s) must decide what levels of evidence will be adequate on the day of the audit.

Local Environmental Agency address (inc post code) and contact information:	(Ensure that the full address is provided along with relevant names and contact numbers where applicable) Clearwater House Avenue North Heriot Watt Research Park Edinburgh EH14 4AP Tel: 0131 449 7296 Fax: 0131 449 7277
Site licence number of audited company:	Exemption Certificate SEA/074787
Date issued and date last amended:	Date issued: 17/05/2002 Date last amended: 20/01/2011 Expires : 17/05/2014
Carriers licence number:	SEA/074787
Date issued and expiry date:	Date issued: 20/01/2011 Date of expiry: 17/05/2014
Consent to discharge licence number:	N/A
Date issued and date last amended:	Date issued: NA Date last amended: NA
Total number of employees:	28
Operational Hours:	Monday to Friday 06:00 to 20:00 hours

Site Specific Details/Questions

1.0	How many disposal sites do they operate?	Only this one as most Shred-it branches are franchised
1.1	What types of sites are they?	(i.e. transfer stations, scrap yards, treatment plants etc.) Transfer Station for the destruction and recycling of confidential paper and media wastes.
1.2	Do they provide a transport service?	Yes.
1.3	If so, how many and what types of vehicles?	A total of 8 Trucks are in operation and are all DAF LFSS vehicles
1.4	What are the general age, conditions and services history of the vehicles?	They range from an 02 plate to new (60 plate)
1.5	Is there evidence of regular maintenance?	The maintenance contract is with DAF via the local main dealer Drummond Motors based in Kirkcaldy.
1.6	If tankers are involved in the process, what type of materials are they allowed to	NA

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	carry?	
1.7	Have all relevant drivers of specialist waste attended an approved training course?	All drivers are undergoing CPC 1 and attend a 1 day course per year.
1.8	What insurance cover is carried by the company against environmental damage?	(obtain a copy of the policy cover document) Document requested and supplied.
1.9	Has the company attained any quality assurance recognition?	(i.e. BS5750, ISO9001, ISO14001, ISO18001, other) This site has not but the Manchester Main Depot has and all franchised sites must operate within their guidelines.
1.10	What company policies?	(i.e. Health and Safety, Environmental, quality etc.) (Obtain a copy of the statements of intent) These were requested and all supplied on the day of the audit.
1.11	Is the company a member of a trade association?	(i.e. Chartered Institute of Waste Management, IOSH etc.) Members of the BSIA, Road Haulage Association and the Chambers of Commerce.
1.12	Does the company stationary quote the company number and registered county?	(obtain a copy) Yes
1.13	Has the company got any issues with MITIE carrying out a financial audit?	(if so provide specific details of response) NO.
1.14	Has the company ever been prosecuted or investigated under caution/pace for an environmental offence?	(if so, make note of as much detail as possible including date, reason behind investigation(s), fines etc.) Never
1.15	Is there a permanent board on display at the site showing details?	(details may include EA details, who manages the site, tel and fax numbers, hours of operation(s) etc.) This is still to be completed as they have only occupied the site for two months and are still undergoing completion.
1.16	What is the name of the Site Manager?	(include contact information for Site Manager) Henry Barge
1.17	Does the site licence cover the wastes being handled on behalf of MITIE?	Yes
1.18	Who are the site owners and operators, if different?	Owners: Henry Barge Operators (N/A if same as owners): Shred-it (East of Scotland) Ltd
1.19	What is the level of supervision across the site?	There is 24/7 CCTV in operation around the site and has only two access points. When daily operations are in place site is always manned.
1.20	What is the size of the site?	Approx size: 1 Acre
1.21	How long has the site been in operation?	Just over one Month
1.22	How many years of "operation" are left in the site?	Indefinite as they have just moved in.
1.23	What is the auditor's personal perception of the site following the visit?	General operation: The site was very well organised and well kept. Staff on site: - The staff were very friendly and approachable Management: - Henry who runs the site was very co-operative and answered all

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		<p>and any questions directed at him.</p> <p>Cleanliness: - The site was very clean and tidy, well organised and efficient.</p> <p>Professionalism: Displayed a high degree of professionalism.</p> <p>Image from outside the site looking in i.e. what members of the public see: From the exterior, one would not be able to determine what the operational procedures were for this building as there were no signs of litter or debris. This would be ideal for a site that deals with confidential materials.</p>
1.24	What site facilities are available?	<p>(i.e. weigh bridge, toilets, wash rooms, shower rooms, canteen, etc.) (Weigh bridge calibration certificates required where present).</p> <p>There is a toilet, showers and a canteen facility based at the site.</p>
1.25	How close is the site to residential property?	<p>(any recent contact or issues and if so how are they dealt with?)</p> <p>Nearest domestic dwelling is relatively close and only 10 metres away.</p>
1.26	What contact does the company have with its neighbours, residential or commercial?	<p>Prior to moving in the site operators had meeting with the local nearby inhabitants to discuss any concerns they may have regarding the intended operations that would be occurring there. As a result any issues raised by the neighbours were taken on board and the site operates within the confines of their concerns (i.e traffic movements and noise).</p>
1.27	What is the log-in procedure for waste arriving to site?	<p>(is there any document procedures?)</p> <p>All waste arriving at site has been booked prior to uplift and will have the appropriate documentation (WTN etc) accompanying throughout the process.</p>
1.28	What inspection, sampling or other testing is carried out when vehicles arrive on site?	<p>(what records of these tests are kept and for how long?)</p> <p>There are continual checks to ensure that the material is being shredded to within the guidelines of their operational procedures. Also to ensure that there are no rogue materials which could damage the cutting blades?</p>
1.29	What laboratory facilities are available on site?	<p>(are they adequate for the types and volumes of waste arriving on site?)</p> <p>NA</p>
1.30	What is the type of training provided to site operatives?	<p>(choose a site operative at random and follow their duties and appropriate training)</p> <p>There are regular H 7 S talks, toolbox talks as per company policy</p>
1.31	Are adequate site instructions provided to staff?	<p>(i.e. emergency response plans, procedures for fire, spills leaks, personal injury etc.)</p> <p>This is on-going as it is a new site and will be developed as they go along.</p>
1.32	Review the above instructions i.e. emergency response plans etc.	<p>(obtain a copy for evidence)</p> <p>Documentation requested and supplied on day of audit</p>
1.33	What security is provided for the site?	<p>(i.e. number of security staff, cameras, are the gates lockable etc.)</p> <p>24/7 CCTV</p>
1.34	What is the procedure for handling visitors to the site?	<p>(were the procedures followed when you arrived at site?)</p> <p>Visitors are requested to sign in on arriving at reception.</p>
1.35	Can the company provide "certificates of disposal" for high value hazardous wastes?	<p>(obtain a copy, where possible)</p> <p>NA</p>
1.36	How are drums, IBCs and containers disposed of?	<p>NA</p>
1.37	Can the waste be tracked through the site in an auditable manner?	<p>Yes as per BSI Standards</p>
1.38	Does the company audit itself? Including the above 1.37 question?	<p>Auditing is carried out under Standard Procedures from head office in Canada who will arrange for the Auditors to inspect the site and its operational procedures.</p>
1.39	Is the site a landfill site?	<p>(is there a map showing the boundaries and cells etc?)</p> <p>NA</p>
1.40	Are records kept	<p>(if so, for how long are they retained?)</p>

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	documenting the wastes handled on site?	Yes, all these are kept on site.
1.41	Who are the sites major customers?	(obtain names, contact information etc. Could MITIE contact these companies / people for a reference on the site?) Local Authorities, Scottish Government Bodies, educational establishments.
1.42	Is there any evidence of oil spills across the site?	NA
1.43	Is recyclable waste segregated adequately?	(ensure the waste is not contaminated with other waste streams) Yes, it was observed that baling of all materials is undertaken in batches
1.44	Are there any sorting operations of waste streams carried out?	Yes, materials are segregated at the site on arrival, but in most cases they are all of one type at collection.
1.45	What handling precautions are there for CFC`s from refrigerators, acids, batteries, PCB`s, transformers and waste oils?	NA
1.46	Are wastes sent to correct holding sites?	Yes
1.47	How long is waste stored on site?	The longest any material will stay on site is 3 days.
1.48	What disposal methods are used and what sites do the residual waste materials get sent to?	All materials received by the site are recycled, paper and cardboards are sent to the pulp mills. There is no residual waste.
1.49	Is the site used licensed to accept the waste?	Yes

Environmental Protection

2.0	Where is the nearest watercourse?	None nearest body of water is Loch Ore which is over a mile away.
2.1	Is the site designed to avoid the contamination of local watercourses in the event of a spillage?	NA
2.3	Are hazardous wastes stored in bunded areas?	NA
2.4	What monitoring of the site is done by the company?	Checks are carried out on a daily basis by the site manager.
2.5	How often does the Environment agency visit the site?	Not been as yet
2.6	Are records kept of these official visits?	NA
2.7	What records are kept of compliance with consent conditions?	NA

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Hazardous Waste Site Details

3.0	Is the site registered under the Hazardous waste Regulations?	NA
3.1	When was the site first registered under these regulations?	NA
3.2	Is a copy of the current registration available?	NA
3.3	When does the current registration code expire?	
3.4	What is the current registration code?	(check the address the code is assigned to is the correct site) NA
3.5	Has the site ever been allocated another code?	(document all known previous codes) NA
3.6	Is the Statutory Industry Code (SIC code) available that accompanies the hazardous code?	NA

Site Considerations for Incinerators

4.0	What sample and testing procedures are used to control the incinerators ash?	NA
4.1	How and where is the ash disposed of?	(have the audited, audited this disposal site?) NA
4.2	Are records kept of the temperature and combustion conditions?	NA
4.3	How is the exhaust gas cleaned and what monitoring is performed?	NA
4.4	Do records show that the emissions standards are complied with?	NA

Site Considerations for Solvent Recovery Plants

5.0	What happens to the residues or any materials that are unsuitable for processing?	NA
5.1	What are the detailed safety procedures for dealing with flammable solvents?	NA
5.2	How are drums opened?	NA
5.3	How are empty and full drums stored?	(is there correct areas for both?) NA

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5.4	What precautions are taken to ensure the minimal escape of vapours to the environment i.e. when opening drums?	NA
5.5	What is the air quality in and around the site?	(are there any strong odours?) NA

Considerations for Landfill Sites

6.0	Is the site filling a hole or making a hill?	NA
6.1	What is the geology of the site?	(consider the physical history of the site, the earth, the rocks of which it is composed and the physical, chemical, and biological changes that the earth has or is undergoing) NA
6.2	What is the standard of any restoration completed on the site?	NA
6.3	How does this comply with the restoration plan?	NA
6.4	What gas control measures are present and used?	NA
6.5	Is the gas vented to atmosphere, flared, or used to generate power for local communities or other?	NA
6.6	What gas monitoring is performed and how often?	NA
6.7	How is leachate controlled?	NA
6.8	Is the leachate level regularly monitored?	NA
6.9	Is the leachate collected or treated?	NA
6.10	Is the leachate discharged or tinkered off site?	NA
6.11	If the leachate is taken off site, who takes it and where does it go?	NA
6.12	Is the tipping face maintained at a controllable size?	NA
6.13	Is adequate covering material available?	NA
6.14	Is the surface of the waste covered at the end of the day?	NA
6.15	Is there evidence of birds or vermin?	NA
6.16	What is the state of the entrance roads	NA

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	to the site?	
6.17	How is windblown litter minimised?	NA

Health and Safety Considerations

7.0	Is the site/company CHAS registered?	(list the ref number and dates of accreditation) No but this was offered and they were keen to undertake this registration. Auditor will arrange this ASAP.
7.1	Does the site operate under an adequate H&S policy?	(obtain a copy of the policy and review) Copy of Policy requested and supplied on day of audit
7.2	Is there a site safety plan?	As the site is still undergoing change, this is still in the development stage.
7.3	Have staff members attended relevant H&S training?	Yes
7.4	Is all machinery under a service matrix and regularly checked?	The Baler on site is second hand and is to be quoted for a maintenance contract soon. Dust extraction system is new and is still under warranty.
7.5	Review PPE considerations	(review risk assessments which detail PPE, signage forms etc.) A drivers and site operators are given a full PPE kit at start up. Copy of the policy was also supplied.
7.6	Is there a spillage response plan in place?	No oils on site. Vehicles are supplied with spillage kit on board.
7.7	How are incidents reported?	None as yet
7.8	Detail any RIDDOR incidents in the last 3 years.	(incident detail, dates, and more importantly the way the incident was managed and any improvements as a result) None
7.9	Detail and HSE prosecutions, improvement notices or probations within the last three years.	None
7.10	Obtain a copy of the Employers and Public Liability insurance cover.	(review and keep as evidence) Requested and Supplied on the day of the audit.
7.11	Review some of the latest risk assessments, COSHH assessments, etc.	(gather evidence) Risk Assessments submitted
7.12	Is there a program for reviewing the above section 7.10 documents?	As per company policy
7.13	Does the company operate a Safety Committee?	Henry Barge and Paul Mitchell cover this.
7.14	How many first aiders are available on site?	There was one but has since left so allocating another person to undertake training.
7.15	Is there regular health surveillance?	No
7.16	What personal monitoring is conducted?	None at present but took on board the auditors suggestion that this should be considered in relation to dust exposure if equipment is faulty or fails.
7.17	How are instructions conveyed to staff?	Regular toolbox talks.
7.18	How are safety protection systems / instructions etc. monitored?	This is still under warranty and is checked by the installation team.

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Considerations for WEEE handling Sites

8.0	Is the facility registered as a Designated Collection Facility (DCF)?	NA
8.1	Is the site part of a Distributor Take Back Scheme (DTBS)?	NA
8.2	Does the site have a WEEE registration number?	
8.3	Is the site/company an Authorised Treatment Facility (ATF) or Approved ATF (AATF)?	NA
8.4	Is the site/company an approved exporter of WEEE or residual materials from WEEE?	NA
8.5	Does all material or WEEE exported, processed or accepted by an authorised and permitted operator?	NA
8.6	Can evidence of the authorised receiver of exported WEEE (or residual materials) be provided in relation to above?	NA
8.7	Does the site compile with all Transfrontier Shipment of Waste Regs (Sch8)?	NA
8.8	Does the site assess for items that can be re-used and what is the route for these items?	NA
8.9	Is the site/company a member of any Registered Approved Data Destruction body?	NA
8.10	Is all confidential material received (e.g. hard drives etc.) kept within a secured and monitored area?	NA
8.11	On breakdown what is the ultimate fate of the residual materials (i.e. heavy metals, precious metals etc.)	NA

Additional Questions / Comments added by auditor

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9.0		
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Document Check List

	Received	To be forwarded	N/A
Site licence or Permit	√ Exemption	-	-
Waste Management Licence	√ Exemption	-	-
Carriers/Brokers Licence	√	-	-
Consent Licence	-	-	NA
Hazardous Waste Registration Code	-	-	NA
Permit (Landfill Etc.)	-	-	NA
Quality assurance (ISO 9001	-	-	NA
Policy Statements (Env, CR Policies Etc.)	√	-	-
Company Headed Paper	√	-	-
Site Map & National Grid Ref No.	-	-	NA
Site Instructions	√	-	-
Emergency Procedures	√	-	-
Safety Plan and Procedures	√	-	-
COTC / PCOTC Certificate (W.A.M.I.T.A.B)	-	-	NA
Weighbridge Calibration Certificate	-	-	NA
EL and PL Insurance Certificate(s)	√	-	-
Safety / Environmental Policy Statement(s)	√	-	-
Risk Assessment(s)	√	-	-
COSHH Assessment(s)	-	-	NA
Examples Of: Audit(s)/Incident investigations Etc.	-	-	-
Other (added by auditor): Ticket (Collection) numbers:	-	-	-

Print Name	Signature	Date
Main Auditor: Bruno P Bernacchi		10/05/2011
Auditee:		
Site Manager:		

Document End.