

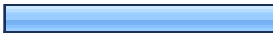
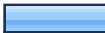



The Auditing Roundtable Survey of Select EHS Audit Practices (Aug 2011)











1. In the 2010 survey, 70% of respondents reported that they do NOT see audit preparation as a main motivator to reduce audit time on site. Choose the ONE response you believe best answers this question: What is the most motivating factor to you for doing audit preparation before arriving on site?

		Response Percent	Response Count
Reducing audit time on site.		5.9%	15
Being adequately prepared upon arriving on site.		85.8%	218
Reducing the amount of citation verification during report writing.		0.8%	2
It is a requirement of my organization.		2.0%	5
I do not conduct any substantive audit preparation activities before arriving on site.		3.1%	8
Other (please specify)		2.4%	6
		answered question	254
		skipped question	0









2. In the 2010 survey, 31% of respondents indicated that they are not required to prepare, compile, and quality check working papers. Choose the ONE response you believe best answers this question: Why is this?

		Response Percent	Response Count
Communication between audit team members on site prior to the close-out meeting captures and vets the most significant findings, and confirms adequate breadth and depth of the audit (including the coverage of all applicable requirements, appropriate interviewees and areas inspected, documents/records reviewed, etc.).		40.3%	102
Communication between audit team members during report writing provides adequate review of findings and confirms adequate breadth and depth of the audit.		15.0%	38
The audit team leader verifies each finding and associated citation in the audit report, and checks breadth and depth of the audit before submission to the client.		19.0%	48
The findings and the audit report are written on site, eliminating the need for working papers.		13.4%	34
Other (please specify)		12.3%	31
		answered question	253
		skipped question	1







3. What method of follow up do you most often engage in after submission of an audit report? Choose the one response you believe best answers this question.

		Response Percent	Response Count
Discuss corrective and preventive actions with the auditee.		21.7%	55
Conduct root cause analyses with the auditee.		0.4%	1
Submit all working papers for review by the auditee.		0.4%	1
Track implementation of corrective and preventive actions.		33.9%	86
Schedule a follow-up audit to verify that corrective and preventive actions were completed.		11.4%	29
Review closure information provided by the auditee for all corrective and preventive actions.		16.9%	43
Rarely follow-up with auditee.		8.3%	21
Other (please specify)		7.1%	18
		answered question	254
		skipped question	0

4. In the 2010 survey, 55% of respondents indicated that corrective and preventive actions (CAPAs) are verified through the next site audit or during corporate, regional, or other company site visits. Choose the ONE response you believe best answers this question: For the audit program with which you currently have the most experience, how soon (on average) are CAPAs followed up on and closed after audit results have been received?

		Response Percent	Response Count
Within 1 week.		1.2%	3
Within 2 weeks.		2.8%	7
Within 1 month.		16.9%	43
Within 3 months.		29.1%	74
Within 6 months.		16.5%	42
Greater than 6 months.		18.9%	48
I have no knowledge of the timeframe for which CAPAs are followed-up on and closed.		5.1%	13
Other (please specify)		9.4%	24
		answered question	254
		skipped question	0

5. Who is most likely to verify that corrective and preventive actions (CAPAs) have been followed-up on and closed? Choose the ONE response you believe best answers this question.

		Response Percent	Response Count
Corporate-level staff follow up on closure of CAPAs		39.7%	100
The EHS manager follows up on closure of CAPAs		27.8%	70
Verification of CAPAs is done through the facility's Environmental Management System (EMS)		12.3%	31
An independent team of auditors is brought in to verify CAPAs		4.0%	10
There is no verification of CAPAs		2.4%	6
Other (please specify)		13.9%	35
		answered question	252
		skipped question	2

6. In what ways do you think that auditing in the 21st century differs from audits conducted previous to this time?

	Response Count
	197
answered question	197
skipped question	57

7. How have you evolved with these new methods/tools/technologies?

	Response Count
	192
answered question	192
skipped question	62

8. What is the best measure of auditor competency? Please rank the following in order of effectiveness, with "1" being Most effective and "6" being Least effective:

	1 - Most effective	2	3	4	5	6 - Least effective	Rating Average	Response Count
Auditee feedback	15.6% (32)	12.2% (25)	22.0% (45)	15.1% (31)	18.0% (37)	17.1% (35)	3.41	205
Auditor performance evaluated by a supervisor	7.8% (16)	18.5% (38)	24.4% (50)	20.5% (42)	20.0% (41)	8.8% (18)	3.47	205
Auditor performance evaluated by an audit team leader	47.5% (103)	31.3% (68)	10.1% (22)	8.3% (18)	1.8% (4)	0.9% (2)	5.12	217
Exams during auditor training	1.9% (4)	3.8% (8)	9.5% (20)	12.8% (27)	27.0% (57)	45.0% (95)	2.06	211
Peer reviews	15.2% (32)	23.2% (49)	21.3% (45)	18.0% (38)	13.3% (28)	9.0% (19)	3.82	211
Third-party auditor certification	16.8% (36)	16.8% (36)	20.1% (43)	22.0% (47)	16.4% (35)	7.9% (17)	3.72	214

Comment: 22

answered question	236
skipped question	18







**9. How should auditor performance be evaluated as a determinant of auditor competency?
Choose the ONE response you believe BEST answers this question:**

		Response Percent	Response Count
Informally after each audit (not documented).		7.2%	17
Formally after each audit (and documented).		9.3%	22
Continuously across all audit activities, including audit preparation, on-site audit, and post-audit work.		54.0%	128
Periodically (e.g., biannually, annually) as part of formal performance evaluations.		27.0%	64
Other (please specify)		2.5%	6
		answered question	237
		skipped question	17

10. By the year 2020, which of the “drivers” below would be likely to promote a higher percentage of EHS auditors being certified by an independent, accredited organization (such as the Board of Environmental, Health and Safety Auditor Certifications) than at present?

	Very likely	Likely	Less likely	No impact	Response Count
A new law or regulation that requires or provides distinct incentives for the use of externally-certified auditors	46.9% (106)	30.5% (69)	22.1% (50)	0.4% (1)	226
National and/or state administrative requirements for the certification of auditors employed by regulatory agencies or deployed for audits required under the terms of enforcement settlements/orders	35.4% (80)	42.0% (95)	21.2% (48)	1.3% (3)	226
Stronger adherence to external standards for the practice of EHS auditing	14.1% (32)	52.0% (118)	31.3% (71)	2.6% (6)	227
Internal senior management expectations	25.6% (58)	45.8% (104)	26.9% (61)	1.8% (4)	227
Public expectations	11.9% (27)	24.2% (55)	44.5% (101)	19.4% (44)	227
Clear evidence that certified auditors perform at a higher level than others	21.6% (49)	46.3% (105)	27.8% (63)	4.4% (10)	227
			Other (please specify)		6
			answered question		236
			skipped question		18

11. How is quality best defined for an individual EHS audit? Choose the ONE response you believe best answers this question.

		Response Percent	Response Count
All established audit procedures have been completed by the audit team.		31.6%	75
Total number of findings identified during the audit is greater than the average number of audit findings for other audits in the same program.		3.0%	7
Positive feedback from audited operations.		16.5%	39
All applicable protocols have been completed by the audit team.		16.9%	40
No agency-identified issues at any inspections following the audit other than those issues already identified during the subject audit.		18.1%	43
Other (please specify)		13.9%	33
		answered question	237
		skipped question	17

12. What is the most effective means of assuring quality in an EHS audit? Please rank the following with "1" being Most effective and "8" being Least effective:

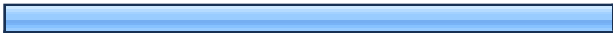

	1 - Most effective	2	3	4	5	6	7	8 - Least effective	Rating Average
Establishing an EHS audit process and assuring that it is being implemented consistently and in its entirety.	48.4% (106)	22.4% (49)	16.0% (35)	4.6% (10)	4.6% (10)	0.9% (2)	2.3% (5)	0.9% (2)	6.89
Assigning the "right" auditors to a given audit team (based on a set of generic auditor qualifications).	17.1% (37)	24.5% (53)	16.2% (35)	10.6% (23)	6.5% (14)	9.7% (21)	9.3% (20)	6.0% (13)	5.39
Performing audits using only internal company personnel, including guest auditors.	3.3% (7)	2.8% (6)	9.0% (19)	10.8% (23)	12.7% (27)	19.8% (42)	18.4% (39)	23.1% (49)	3.25
Performing audits using only dedicated internal audit personnel (e.g., from an EHS Audit Department).	10.6% (23)	4.6% (10)	8.3% (18)	10.6% (23)	14.3% (31)	16.6% (36)	20.7% (45)	14.3% (31)	3.82
Performing audits using only third-party auditors.	4.1% (9)	1.4% (3)	6.0% (13)	10.6% (23)	14.2% (31)	15.1% (33)	18.3% (40)	30.3% (66)	3.00
Training auditors at least once per year on various technical and auditing topics.	6.2% (13)	12.4% (26)	10.0% (21)	20.5% (43)	22.4% (47)	14.8% (31)	8.6% (18)	5.2% (11)	4.55
Requiring all audit team leaders to have a relevant professional certification.	3.7% (8)	14.8% (32)	15.3% (33)	17.1% (37)	13.0% (28)	13.9% (30)	14.4% (31)	7.9% (17)	4.41
Using and completing audit protocols.	8.3% (17)	22.9% (47)	22.4% (46)	15.6% (32)	13.2% (27)	8.8% (18)	4.4% (9)	4.4% (9)	5.32

Comment:

answered question

skipped question

13. Is it important for an EHS audit program to conform to an established set of audit standards?

		Response Percent	Response Count
Yes		91.4%	212
No		8.6%	20

If you answered "Yes" please provide a very brief statement regarding why it is important.


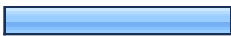


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answered question	232
skipped question	22


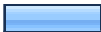



14. Which EHS audit standard is likely to be of greatest value to a U.S.-based multinational company? Please rank the following, with "1" providing Most value and "5" providing Least value:

	1 - Most value	2	3	4	5 - Least value	Rating Average	Response Count
BEAC Performance and Program Standards for the Professional Practice of Environmental, Health & Safety Auditing	34.8% (71)	36.8% (75)	18.1% (37)	5.4% (11)	4.9% (10)	3.91	204
ISO 19011: Guidelines for Quality and/or Environmental Management Systems	21.4% (42)	16.3% (32)	25.0% (49)	27.6% (54)	9.7% (19)	3.12	196
Eco-Management and Audit Scheme (EMAS)	1.0% (2)	5.2% (10)	7.9% (15)	32.5% (62)	53.4% (102)	1.68	191
ASTM E2107: Standard Practice for Environmental Regulatory Compliance Audits	9.2% (18)	22.1% (43)	37.9% (74)	21.5% (42)	9.2% (18)	3.01	195
An internal company audit standard	40.1% (81)	19.3% (39)	11.4% (23)	10.4% (21)	18.8% (38)	3.51	202
					Other (please specify)		14
					answered question		222
					skipped question		32



15. How is conformance to an EHS audit standard (either internally or externally established) best evaluated for a corporate-level EHS audit program? Choose the ONE response you believe best answers this question.

		Response Percent	Response Count
Informal review and discussion		8.2%	19
Formal evaluation process using internal company resources		33.9%	79
Formal evaluation process using a third-party reviewer		51.5%	120
Peer review by another company		6.4%	15
	Other (please specify)		5
answered question			233
skipped question			21



16. What is your current or most recent type of employment?

		Response Percent	Response Count
Independent Consultant		9.3%	22
Consulting firm		14.0%	33
Company EHS auditor		43.2%	102
Company management		28.4%	67
Other (please specify)		5.1%	12
answered question			236
skipped question			18

17. Are you a member of The Auditing Roundtable?

		Response Percent	Response Count
Yes		54.2%	128
No		45.8%	108
answered question			236
skipped question			18

18. Are you a CPEA or applicant?

		Response Percent	Response Count
Yes		80.0%	188
No		20.0%	47
answered question			235
skipped question			19

Page 2, Q1. In the 2010 survey, 70% of respondents reported that they do NOT see audit preparation as a main motivator to reduce audit time on site.

Choose the ONE response you believe best answers this question: What is the most motivating factor to you for doing audit preparation before arriving on si...

1	Audit prep demonstrates a level of professionalism. It demonstrates to the auditee that you understand their business operations and objectives. I would have checked that it reduces the audit time on site, and that it is a requirement of my organization.	Aug 29, 2011 9:07 PM
2	That audit protocol target specific line items required by recipients and minimize operational disturbance	Aug 29, 2011 4:40 PM
3	We use a 3rd party Software program for our audit program.	Aug 26, 2011 11:36 AM
4	requirement of organization and reduces audit time on site. Also the team is better prepared and you do not waste customers time. Upfront planning is an important step in preparation of good supporting workpapers meeting IIA expectations and BEAC standards. Also allows defined objectives, scope, and focus of audit to be addressed.	Aug 24, 2011 10:00 AM

Page 2, Q1. In the 2010 survey, 70% of respondents reported that they do NOT see audit preparation as a main motivator to reduce audit time on site.

Choose the ONE response you believe best answers this question: What is the most motivating factor to you for doing audit preparation before arriving on si...

5	Preparing for the audit is critical to ensuring that the Audit criteria is valid and to ensure special interest areas or areas of concern identified by the organization are addressed in an efficient manner.	Aug 24, 2011 9:39 AM
6	A combination of a few factors [save on-site time and be better prepared upon arrival], but to sum it up, without properly communicating the on-site audit process to the facility, the people at the facility are not prepared (the right people, the right documents, the right information, adequate time, camera permits, conference room, AV equipment, etc.) and a lot of that goes for the audit team as well. I guess I am just expanding on the reasons of the factors I bracketed above.	Aug 24, 2011 9:38 AM

Page 2, Q2. In the 2010 survey, 31% of respondents indicated that they are not required to prepare, compile, and quality check working papers.

Choose the ONE response you believe best answers this question: Why is this?

1	Hybrid audit has review of findings by functional team leaders and VP of Internal audit before a findings final reporting by PM for Internal Audit VP.	Aug 31, 2011 1:35 PM
2	Not one of the 31% therefore don't know why they don't document	Aug 30, 2011 9:41 AM
3	Trusting some other mechanism will ensure accuracy.	Aug 30, 2011 9:41 AM
4	Responses 1, 2, and 4.	Aug 29, 2011 5:27 PM
5	I'm in the remaining 69%	Aug 29, 2011 2:09 PM
6	Conversely, 69% do prepare. We routinely provide a "team brief" to make sure all auditors understand the nature and scope of the audit. I don't know why 1/3 think preparation is not necessary.	Aug 29, 2011 1:55 PM
7	Don't know	Aug 29, 2011 1:11 PM
8	The audit teams should be completing workpapers to support their findings.	Aug 29, 2011 12:54 PM
9	We check findings.	Aug 29, 2011 12:27 PM
10	Don't know. I would think this would be standard protocol, or at least best practice, for any audit.	Aug 29, 2011 12:21 PM
11	Communication between audit team members during report close-out and report writing provides adequate review of findings and confirms adequate breadth and depth of the audit. Each auditor is responsible to prepare and compile working papers, however, there is generally insufficient time to quality check working	Aug 29, 2011 10:25 AM

Page 2, Q2. In the 2010 survey, 31% of respondents indicated that they are not required to prepare, compile, and quality check working papers.

Choose the ONE response you believe best answers this question: Why is this?

	papers.	
12	I guess those 31% are either sloppy auditors or work in poorly run audit programs	Aug 27, 2011 7:02 PM
13	We do prepare, compile and maintain working papers but do not perform quality checking based on bullet one above.	Aug 26, 2011 4:26 PM
14	N/A	Aug 26, 2011 11:36 AM
15	Findings are discussed with the facility during the site visit, and verified prior to submitting the report to the client. In addition, we typically perform audits individually and not as a team.	Aug 25, 2011 9:29 AM
16	It is not required	Aug 25, 2011 7:26 AM
17	i wasn't in this group.	Aug 24, 2011 11:03 PM
18	This is essential to vet any assumption of a non-compliance or non-conformance.	Aug 24, 2011 1:51 PM
19	We are required to prepare, compile and QC working papers	Aug 24, 2011 12:54 PM
20	I do not agree with this response. Proper preparation, proper compiling of reports and quality check of working papers is part of an auditors duty and responsibility in providing a professional and viable report for record and followup.	Aug 24, 2011 12:13 PM
21	Working papers are reviewed during the audit process. Daily communication between audit members and site personnel is conducted to confirm/verify potential findings and issues.	Aug 24, 2011 11:24 AM
22	Working papers are time consuming and virtually never used afterwards. They do create a potntial liability withou any correspeonding benefit.	Aug 24, 2011 11:15 AM
23	Nobody asks to see the working papers.	Aug 24, 2011 10:41 AM
24	comprehensive work papers is required by organization. Very helpful in future audit planning at same site or if programmatic audit across organization provides great starting point in planning. We use TeamMate as an organization - yes it will work for EHS auditing. TeamMate allows electronic workpapers.	Aug 24, 2011 10:00 AM
25	Communication of the between Audit Team LEader and other members BEFORE, DURING and AFTER the inspections, interviews and document reviews is required to verify adequacy of coverage. Working papers, can provide some comfort, but in the end, are just an example of "checking the box."	Aug 24, 2011 9:55 AM
26	Maybe the initial respondents didn't fully understand the original question or they don't do all three of the activities because the connector "and" was used	Aug 24, 2011 9:38 AM

Page 2, Q2. In the 2010 survey, 31% of respondents indicated that they are not required to prepare, compile, and quality check working papers.

Choose the ONE response you believe best answers this question: Why is this?

(prepare, compile, and quality check)? Without working papers (notes), there is no way to write some of the nonconformities where details are required. I am referring to tank numbers, SOP numbers, numbers of people trained and the list goes on forever. Of course this assumes no one has perfect recall. The hang up on the original question may be "quality check". I'm not even sure how to do that. As long as someone can answer my questions regarding the details of a nonconformity, then I figure the notes are complete.

27	We must prepare, compile and quality check our EWPs. Those who do not need to look at their process and their audit charter	Aug 24, 2011 9:10 AM
28	For my organization, we prepare an audit summary table and attempt to complete all of the audit checklists before we leave the facility, but depending on the size of the facility and permits, it may not be possible to complete all the checklists during the audit timeframe.	Aug 24, 2011 9:07 AM
29	Internal procedures do not require work papers.	Aug 24, 2011 8:57 AM
30	The audit report is written on site but we still use working papers (i.e. auditor notes)	Aug 24, 2011 8:55 AM
31	Creating of 'working papers' adds unnecessarily to the paper trail, where the audit findings themselves can serve the purpose of documenting the audit.	Aug 24, 2011 8:52 AM

Page 2, Q3. What method of follow up do you most often engage in after submission of an audit report?

Choose the one response you believe best answers this question.

1	Provide technical assistance in support of recommendations.	Aug 30, 2011 10:44 AM
2	Auditee should provide me with: 1. The correction (direct action to minimize the impact of the NC) 2. Registrations of the root cause analysis 3. The corrective action and how the organization can demonstrate the effectiveness of the corrective action	Aug 30, 2011 3:10 AM
3	Tracked to completion in database.	Aug 29, 2011 12:27 PM
4	Quarterly updates on corrective action and verification by senior EHS staff upon completion	Aug 29, 2011 10:37 AM
5	Depending on criticality, bullets 4 and 6.	Aug 26, 2011 4:26 PM
6	Follow-up is conducted during the next audit cycle.	Aug 26, 2011 9:22 AM
7	Usually the auditee is not our client, we conduct 3rd party assessments. The	Aug 25, 2011 9:29 AM

Page 2, Q3. What method of follow up do you most often engage in after submission of an audit report?

Choose the one response you believe best answers this question.

	auditee is provided the opportunity to address and respond to findings during their review of the draft report.	
8	Schedule a follow-up audit to verify that corrective but not preventive actions are completed	Aug 24, 2011 12:54 PM
9	Audit team rarely follow - up with the auditee which is the responsibility of the EHS group overseeing the site besides the Dir of EHS.	Aug 24, 2011 11:47 AM
10	A compilation of: track corrective actions, review root cause determinations, review appropriateness of corrective actions and review closure during subsequent audits.	Aug 24, 2011 11:24 AM
11	Answers to this question are likely to vary between in-house and contracted auditors. As an out-sourced/ contracted auditor, my contract rarely includes follow-up, but this does not mean that it is not being done.	Aug 24, 2011 10:41 AM
12	Request tracking and update information on corrective actions and based upon a review of the close out actions, coordinate a follow up audit to validate the adequacy of corrective actions in front of any regulatory citations.	Aug 24, 2011 9:39 AM
13	Perform quarterly follow-up reviews to determine what corrective actions have been taken to close an audit issue. This may involve reviewing documents, digital photos, etc. provided by the auditee for all corrective actions. Quarterly reviews continue until all of the audit findings have been corrected.	Aug 24, 2011 9:31 AM
14	This answer really depends on whether this is a certification audit (ISO/RC 14001, OHSAS 18001) or a consulting client. For certification, it's review of root cause and corrective action plan for appropriateness and verification of effectiveness at the next audit. For consulting clients it's all of the above.	Aug 24, 2011 9:19 AM
15	We review info from the auditee that is sent to us by the due date. We also validate it at our next scheduled audit	Aug 24, 2011 9:10 AM
16	At the request of line management, verification of adequacy of corrective action will occur.	Aug 24, 2011 9:05 AM
17	Follow up during the next audit if the next scheduled audit	Aug 24, 2011 8:57 AM
18	Depends upon the client. Different clients will want the auditor to follow up in various different ways.	Aug 24, 2011 8:52 AM

Page 2, Q4. In the 2010 survey, 55% of respondents indicated that corrective and preventive actions (CAPAs) are verified through the next site audit or during corporate, regional, or other company site visits.

Choose the ONE response you believe best answers this question: For the audit program with whi...

1	Poorly worded question. Are you asking about how CAPAs are verified or how long does it take to close CAPAs? We verify closed findings within days of the notice that they are closed. The actual time from audit to closing of the finding is	Aug 29, 2011 6:18 PM
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Page 2, Q4. In the 2010 survey, 55% of respondents indicated that corrective and preventive actions (CAPAs) are verified through the next site audit or during corporate, regional, or other company site visits.

Choose the ONE response you believe best answers this question: For the audit program with whi...

	variable, depending on the complexity of the CAPA, can go up to a year.	
2	Within 2 months.	Aug 29, 2011 1:35 PM
3	CAPAs are entered into a database at the time the audit report is issued. The auditee, with approval, indicates the target dates. The system sends out notification when a target date is approaching, or passed. Corrective actions are entered into the system by the auditee and are reviewed by the audit manager. If they are appropriate then the issue is closed out.	Aug 29, 2011 1:04 PM
4	Depends on type of finding	Aug 29, 2011 12:46 PM
5	Some take less than a week - others involving capital expenditures can take as long as 6-12 months	Aug 29, 2011 12:33 PM
6	If the site passes the audit a team returns in 3 years If the site fails the audit a team returns in 1 year	Aug 29, 2011 12:30 PM
7	One year	Aug 29, 2011 12:22 PM
8	varies depending on complexity of CA, could be > 6 months but typically < 6 months	Aug 29, 2011 10:54 AM
9	Our program requires quarterly updates with a maximum of 1 year to complete CAPAs	Aug 29, 2011 10:37 AM
10	Within three months following closure for significant findings; nine months following closure for others.	Aug 29, 2011 10:25 AM
11	Within 6 months of completion date of the corrective action.	Aug 26, 2011 11:36 AM
12	Next site audit may be in 2-3 years depending on Risk Ranking.	Aug 26, 2011 9:22 AM
13	varies with risk ranking of the CAPA	Aug 24, 2011 5:31 PM
14	Low risk - 120 days Medium Risk - 90 days High Risk - 45 days	Aug 24, 2011 1:51 PM
15	We perform follow-up audits a year after the audit and perform the follow up during another type of scheduled audit	Aug 24, 2011 12:54 PM
16	The amount of time is quite variable. Some corrective actions require large capital projects which could take years.	Aug 24, 2011 11:22 AM
17	All legal compliance must be corrected within 60 days (U.S. EPA guideline).	Aug 24, 2011 10:42 AM
18	There is an electronic system that records completion of corrective actions. The action plan sets dates and responsible parties. As such, the timeline for completion is specific to each finding and notification is immediate upon completion. Note that there is an E-mail tracking system notifying the head auditor and facility personnel of past-due corrective actions.	Aug 24, 2011 10:40 AM
19	We have very different closure requirements for corrective and preventive actions. For normal corrective actions, the range is from sixty days to six months	Aug 24, 2011 9:38 AM

Page 2, Q4. In the 2010 survey, 55% of respondents indicated that corrective and preventive actions (CAPAs) are verified through the next site audit or during corporate, regional, or other company site visits.

Choose the ONE response you believe best answers this question: For the audit program with whi...

	and preventive actions are nine months.	
20	Followed up on within 6 months. Corrective actions may take more that 6 months to close if a capital project is required.	Aug 24, 2011 9:30 AM
21	Corrective actions are closed by the site and verified by a team of verification auditors as they are completed.	Aug 24, 2011 9:12 AM
22	CAPAs are unique to the audit based upon the complexity of the issues. We do not generally accept CAPAs that take longer than 1 year to implement. We as an audit team, follow up at our next audit which could be 3 to 4 years. If the audit was rated less than satisfactory, we follow up in 18 months.	Aug 24, 2011 9:10 AM
23	We review closure of risk ranked Significant and High nonconformances at the next audit. Typical audit frequency is 3 years or 5 years	Aug 24, 2011 9:02 AM
24	As quickly as possible, but the corrective action also needs to be effective.	Aug 24, 2011 8:52 AM

Page 2, Q5. Who is most likely to verify that corrective and preventive actions (CAPAs) have been followed-up on and closed?

Choose the ONE response you believe best answers this question.

1	Not all CAPAs are verified, but certain audits are selected for verification by the audit team.	Aug 30, 2011 10:06 AM
2	The original auditors	Aug 30, 2011 9:41 AM
3	The organization should be able to demonstrate that they have checked the effectiveness, the (external) auditor checks that, and can take a spot sample	Aug 30, 2011 3:10 AM
4	Business Leader	Aug 29, 2011 5:57 PM
5	Business unit EHS professionals verify completion of corrective and preventive actions.	Aug 29, 2011 5:27 PM
6	Audit manager and auditor follow up on closure of CAPAs for high-risk findings. Others are confirmed in the next audit at that facility.	Aug 29, 2011 5:05 PM
7	Specific operations District manager	Aug 29, 2011 4:40 PM
8	Only a random number of CAPA's are verified the next year (~10%), with all being verified at the next audit	Aug 29, 2011 4:06 PM
9	Next round of audit at the site	Aug 29, 2011 1:22 PM
10	The EHS&S internal audit manager verifies that the action item is closed out.	Aug 29, 2011 1:04 PM
11	facility leadership accountability	Aug 29, 2011 10:54 AM

Page 2, Q5. Who is most likely to verify that corrective and preventive actions (CAPAs) have been followed-up on and closed?

Choose the ONE response you believe best answers this question.

12	The lead auditor assigned to the audit engagement.	Aug 28, 2011 12:52 PM
13	Bullet 1 or 2 based on criticality of the item.	Aug 26, 2011 4:26 PM
14	The audit team that performed the audit	Aug 26, 2011 11:36 AM
15	Business level or regional EHS professionals	Aug 25, 2011 7:43 PM
16	Audit Manager follows up and reports to senior management any overdue CAPA's.	Aug 25, 2011 2:19 PM
17	CAPA are reviewed and verified during the next audit.	Aug 25, 2011 8:59 AM
18	By the auditors at the facility's next audit.	Aug 25, 2011 7:57 AM
19	The facility/site leader is responsible for verification	Aug 25, 2011 7:26 AM
20	The Auditee has 90 days to implement the corrective actions that were implemented after the closing conference. On occasion, some CAs cannot be implemented within that time frame, in which case we require a CA Plan. Usually, the Corporate EHS Manager and the Audit lead do the follow up.	Aug 24, 2011 8:23 PM
21	typically not verified unless it is deemed a critical need based on risk ranking of the CAPA. Often dialogue with the site management	Aug 24, 2011 5:31 PM
22	The next audit team	Aug 24, 2011 4:36 PM
23	Plant Manager	Aug 24, 2011 1:51 PM
24	Facility manager is required to verify CAPAs but audit team leader as does physical site visit within 60 days to verify	Aug 24, 2011 11:11 AM
25	Senior EHS personnel from within the business but independent of the facility audited.	Aug 24, 2011 10:32 AM
26	typically next audit cycle at plant or if a programmatic audit the audit department schedules a follow up audit in about 2 - 3 years based on risk ranking.	Aug 24, 2011 10:00 AM
27	During the next audit cycle	Aug 24, 2011 9:53 AM
28	As a consultant, third party audit provider, I don't have much knowledge of this.	Aug 24, 2011 9:42 AM
29	Not used.	Aug 24, 2011 9:39 AM
30	The Regional EHS Directors are responsible for verifying proper closure.	Aug 24, 2011 9:38 AM
31	An environmental auditor.	Aug 24, 2011 9:31 AM
32	CAPAs are closed and verified by the Site. They then request the Audit CAPA to be closed under Management Assertion. We audit followup at our next audit. If we find repeat issues we issue a finding that questions managements assertion of closure.	Aug 24, 2011 9:10 AM

Page 2, Q5. Who is most likely to verify that corrective and preventive actions (CAPAs) have been followed-up on and closed?

Choose the ONE response you believe best answers this question.

33	The audit staff.	Aug 24, 2011 9:07 AM
34	Line management is responsible for ensuring that corrective actions are closed. It is up to that line manager to establish a process by which this occurs. Either by using their own QA staff or by requesting assistance through subject matter experts.	Aug 24, 2011 9:05 AM
35	No one follows up to ensure non-compliance has been addressed.	Aug 24, 2011 8:43 AM

Page 2, Q6. In what ways do you think that auditing in the 21st century differs from audits conducted previous to this time?

1	More pressure to reduce on-site time.	Aug 31, 2011 6:05 PM
2	Time management - we are much faster. Certified, skilled auditors and subject matter experts	Aug 31, 2011 3:03 PM
3	Automation through software programs. More robust protocols	Aug 31, 2011 2:49 PM
4	Standards are pushing for increasing levels of documentation to be in electronic test notes that back up findings plus photographs.	Aug 31, 2011 1:35 PM
5	more electronic systems for auditor to use easier to verify and track action items to completion	Aug 30, 2011 10:02 PM
6	Less actual on-site audits.	Aug 30, 2011 5:13 PM
7	More technically based on specific standards violations	Aug 30, 2011 2:29 PM
8	Access to electronic versions of regulations and electronic files	Aug 30, 2011 1:56 PM
9	More electronic reports and verification of findings.	Aug 30, 2011 1:26 PM
10	Documentation and records are maintained electronically and therefore easier to access. Easier communication among everyone involved through emails.	Aug 30, 2011 12:22 PM
11	More productive through use of technology; more regulations and requirements to consider	Aug 30, 2011 10:44 AM
12	Faster and better immediate communication available for online training, follow up, immediate review of critical issues via mobile photos, etc. The tools available via internet, phones, etc.	Aug 30, 2011 10:39 AM
13	?	Aug 30, 2011 10:25 AM
14	Reporting mechanisms are better/easier now. Not sure though that the auditors are as thorough as in the past.	Aug 30, 2011 10:06 AM
15	Combination audits (Quality, Environmental)	Aug 30, 2011 9:45 AM

Page 2, Q6. In what ways do you think that auditing in the 21st century differs from audits conducted previous to this time?

16	The amount of material being audited has most likely increased ten-fold but electronics have helped with this (but also caused it - facilities have to do more just because they can using computers etc.	Aug 30, 2011 9:41 AM
17	Quicker. Less detail. Drive to Root Cause.	Aug 30, 2011 9:41 AM
18	Everyone has more knowledge of regulations - less surprises in what is uncovered during an audit.	Aug 29, 2011 9:52 PM
19	System management allows for more variation in systems, rather than the earlier compliance-based audits.	Aug 29, 2011 9:15 PM
20	We focus more on the detective, preventive and corrective controls rather than providing the conditional assessments that were done.	Aug 29, 2011 9:07 PM
21	Less follow up in the past.	Aug 29, 2011 8:39 PM
22	Much more automated by computer systems, on-site report generation, on-site CAPA development.	Aug 29, 2011 6:18 PM
23	20 years ago, when I started auditing, a lot more effort was made in understanding management systems and focusing audit verification activities on higher impact topics. Today, very superficial audits based on canned checklists are used trying to cover every single audit question. Very little depth.	Aug 29, 2011 6:10 PM
24	The process is entirely digital. Protocols, audit findings, corrective and preventive actions, and finding closures are all done electronically. Working papers no longer exist.	Aug 29, 2011 5:27 PM
25	They are more integrated into the business system, ie expected as a part of doing business.	Aug 29, 2011 5:05 PM
26	Greater interest in regulatory compliance	Aug 29, 2011 4:40 PM
27	more/better electronic tools, access to regulatory web sites on the internet	Aug 29, 2011 4:38 PM
28	There is more focus at a higher level on today's audits.	Aug 29, 2011 4:19 PM
29	Increasing complexity requires more detailed documentation	Aug 29, 2011 4:02 PM
30	CAPAs tracking and reporting until completion is a common practice today. Findings metrics development to identify training needs and preventive initiatives.	Aug 29, 2011 3:57 PM
31	More emphasis on risk reduction and less emphasis on the minutiae of compliance	Aug 29, 2011 3:39 PM
32	Electronic data bases and action tracking systems in place offer easy methods of ensuring follow up and Corrective actions taken .	Aug 29, 2011 3:24 PM
33	They don't differ for me.	Aug 29, 2011 2:59 PM
34	Verification of closure	Aug 29, 2011 2:32 PM
35	More online data available	Aug 29, 2011 2:28 PM

Page 2, Q6. In what ways do you think that auditing in the 21st century differs from audits conducted previous to this time?

36	More Regulations	Aug 29, 2011 2:27 PM
37	States post regulations on website accessible to the public along with guidance.	Aug 29, 2011 2:21 PM
38	More technology that saves time	Aug 29, 2011 2:12 PM
39	Supporting technology increases productivity - Plus Increased workload decreases ability to conduct as in-depth audits as in the past - Minus	Aug 29, 2011 2:09 PM
40	More details in the audit.	Aug 29, 2011 2:00 PM
41	The preparation is better than previously done. The understanding of priority enforcement items due to history and industry sharing of lesson learned allows better prioritization in the regulatory enforcement area. The general experience level and qualification levels of the audit team members is generally higher.	Aug 29, 2011 1:59 PM
42	Greater emphasis on health & safety, management systems, and risk-based issues.	Aug 29, 2011 1:55 PM
43	electronic storage allows for quicker and more thorough review of compliance documentation.	Aug 29, 2011 1:49 PM
44	Increased travel costs require new approaches to auditing.	Aug 29, 2011 1:46 PM
45	Electronic documentation and improved file sharing software, which reduces the need for photocopying and allows the auditor to have access to these materials prior to the onsite portion of the audit.	Aug 29, 2011 1:46 PM
46	hand held devices and photo evidence	Aug 29, 2011 1:43 PM
47	More complex regulatory or consensus standards as well as global standards. Audit software or custom online forms.	Aug 29, 2011 1:35 PM
48	The audits today have more depth and focus on systems.	Aug 29, 2011 1:35 PM
49	More sites have experience with auditing, resulting in a higher level of understanding of the process and fewer conflicts between the auditors and the audited location. Also there are more readily available electronic tools for tracking and communicating findings.	Aug 29, 2011 1:23 PM
50	The follow-up and reporting of metrics based on the new tools of the trade	Aug 29, 2011 1:22 PM
51	More awareness of how important environmental audits are to reduce costs associated with penalties, fines and liabilities.	Aug 29, 2011 1:21 PM
52	Automation, including better internet resources, as well as internal EMS systems	Aug 29, 2011 1:20 PM
53	Better electronic resources available to use on site	Aug 29, 2011 1:17 PM
54	Computers	Aug 29, 2011 1:14 PM
55	The legal component now carries significantly more risk.	Aug 29, 2011 1:11 PM
56	Less resources, time, and manpower to provide corrective actions by site	Aug 29, 2011 1:04 PM

Page 2, Q6. In what ways do you think that auditing in the 21st century differs from audits conducted previous to this time?

57	There is less time given to perform the audit.	Aug 29, 2011 1:04 PM
58	Auditing is recognized for application across a number of subject areas and is a recognized technique for contributing to improved management processes.	Aug 29, 2011 1:02 PM
59	Having sufficient workpapers is very important today as many audit issues result in corrective actions. Those actions maybe in the form of employee termination, court cases or third party review of the workpapers. Having everything properly documented is more important now than it was years ago.	Aug 29, 2011 12:54 PM
60	Electronics systems available	Aug 29, 2011 12:46 PM
61	limited time and resources	Aug 29, 2011 12:44 PM
62	More electronic records and databases must be examined.	Aug 29, 2011 12:40 PM
63	Focus on risk and assurance versus focusing on compliance	Aug 29, 2011 12:33 PM
64	Auditing has moved away from command and control criteria to a management systems approach. Companies are still interested in being compliant, however they are much more focused on sustainable performance and reliability of systems.	Aug 29, 2011 12:33 PM
65	preaudit capabilities	Aug 29, 2011 12:32 PM
66	Electronic data recording	Aug 29, 2011 12:27 PM
67	Documentation of our findings. Clients are aggressively challenging us/me during the audit. We need to understand the regulations and be able to provide a basis (regulatory citation) for our findings.	Aug 29, 2011 12:25 PM
68	Use of auditing software	Aug 29, 2011 12:22 PM
69	More mobile information- use of the internet	Aug 29, 2011 12:21 PM
70	less policing, more coaching.	Aug 29, 2011 10:54 AM
71	More electronic tools	Aug 29, 2011 10:37 AM
72	More technology is involved, Some making the audit more efficient; others increasing the workload	Aug 29, 2011 10:35 AM
73	Greater emphasis on electronic means of communication, recordkeeping, and process management.	Aug 29, 2011 10:25 AM
74	More transparent disclosure of audit findings before the report out. Crisper and more timely closing of audit findings.	Aug 29, 2011 9:03 AM
75	Electronic records and document availability makes for more efficient auditing. Information can be shared more easily and more quickly. This allows for more time to audit more areas and topics.	Aug 29, 2011 7:59 AM
76	We are moving to system rather than regulatory requirements. In addition, there is diversity in what is audited.	Aug 28, 2011 12:52 PM

Page 2, Q6. In what ways do you think that auditing in the 21st century differs from audits conducted previous to this time?

77	Better tracking of findings	Aug 27, 2011 7:54 PM
78	Much better and more thorough information on regulations, permits, standards, etc. is available electronically, making it easier to do more detailed regulatory research on site; also much more document review, report prep, and CAPA tracking is done electronically.	Aug 27, 2011 7:02 PM
79	documnetation and follow up	Aug 27, 2011 2:20 PM
80	Technology has improved to allow for improved documentation sharing.	Aug 27, 2011 3:59 AM
81	Less time and less resources to audit;regulatory envirnment is more complex; more risk based and management system focused.	Aug 26, 2011 4:26 PM
82	much more electronic templating; more "solo" jobs	Aug 26, 2011 2:23 PM
83	More focus on management sytems. Some companies I understand looking at sustainability criteria	Aug 26, 2011 12:16 PM
84	Becoming more streamline and efficient.	Aug 26, 2011 11:36 AM
85	The company auditor is training more of line management as the reitirement attrtion rate is high and more new employees are hired. It use to be write them up without any explanation of why. A lot more information is stored and communicated electronically.	Aug 26, 2011 9:28 AM
86	Audits are better supported by senior management and more facilities view the audits as a positive effort that prepares the facility to better handle state and federal agency inspections.	Aug 26, 2011 9:22 AM
87	EMS addition is most common change	Aug 26, 2011 8:25 AM
88	I am relatively new to auditing, and cannot determine what has changed other than the trend toward more electronic formats.	Aug 26, 2011 6:40 AM
89	Faster audit report generation and follow-up activity.	Aug 25, 2011 7:43 PM
90	Don't know. I took over the program in 2000 and instituted immediate changes to bring the program up to established BEAC Standards.	Aug 25, 2011 2:55 PM
91	Much more auditing of the electronic records.	Aug 25, 2011 2:54 PM
92	Less paper to review and more electronic. This can be a help and a hinderance. A help if its a spreadsheet, as its much easier to go through a folder of paper documents, than having to open individual electronic files.	Aug 25, 2011 2:49 PM
93	More detail and more performance based.	Aug 25, 2011 2:19 PM
94	The audits are expected to be more comprehensive and detailed, and involve more than just compliance. It is typical for our audit protocols to include a review of business and financial health, labor practices and safety programs, and other softer aspects, such as attitudes towards auditors and regulators, the apparent relationship between management and workers, etc. Audits now are about business risk relationships, not just compliance and avoiding fines, penalties and the negative public image associated with poor compliance.	Aug 25, 2011 9:29 AM

Page 2, Q6. In what ways do you think that auditing in the 21st century differs from audits conducted previous to this time?

95	21st century audits go beyond compliance.	Aug 25, 2011 9:14 AM
96	More environmental regulations, structure and details	Aug 25, 2011 8:59 AM
97	Better use of electronic tools and less writing by hand of audit reports	Aug 25, 2011 7:26 AM
98	none	Aug 24, 2011 11:03 PM
99	Move from compliance to systematic evaluations.	Aug 24, 2011 8:35 PM
100	There seem to be a slight departure from compliance driven audit agenda towards a system management agenda.	Aug 24, 2011 8:23 PM
101	Check lists and software are available for many types of business'	Aug 24, 2011 8:09 PM
102	Less regulatory oversight. Many firms just looking for a check mark, not to improve	Aug 24, 2011 7:35 PM
103	Web-based Technology & Knowledge	Aug 24, 2011 7:24 PM
104	Auditing has evolved through the use of electronic records and information exchange, internet access to data, examples, regulations, etc., and software applicaitons for managing reports and corrective action implmenetation.	Aug 24, 2011 6:29 PM
105	Use of computers, checklists and knowledge of customer.	Aug 24, 2011 6:09 PM
106	Tools used and access to internet	Aug 24, 2011 5:39 PM
107	Technology that is available today to simplify the process	Aug 24, 2011 5:31 PM
108	More executive and middle management support. Heightened legal awareness and concerns of privilege and confidentiality.	Aug 24, 2011 4:53 PM
109	In our case auditing has become increasingly more independent. Recently we have been using external auditing teams from firms/offices that do not provide environmental consulting to our facilities.	Aug 24, 2011 4:42 PM
110	Independent corporate level audit!	Aug 24, 2011 4:38 PM
111	Better process based	Aug 24, 2011 4:36 PM
112	Ability to review documents electronically before audit	Aug 24, 2011 4:15 PM
113	Use of technology to more efficiently manage graphics and documents into the report.	Aug 24, 2011 4:11 PM
114	Didn't conduct audits previous to the 21st century.	Aug 24, 2011 4:03 PM
115	Companies are fictiously using "focused audit" that are not more extensive that multi-media audits for any given topic.	Aug 24, 2011 3:25 PM
116	use computerized auditing programs	Aug 24, 2011 3:10 PM
117	All the audit communication and closure traking takes place electronically.	Aug 24, 2011 2:52 PM

Page 2, Q6. In what ways do you think that auditing in the 21st century differs from audits conducted previous to this time?

118	Increased emphasis on: EHS auditing rather than just environmental auditing; EHS risk management; and root cause analysis.	Aug 24, 2011 2:42 PM
119	More efficient through the use of technology. Value of auditing is recognized.	Aug 24, 2011 1:58 PM
120	More focus is placed on HSE Management Systems and behavioral elements of performance.	Aug 24, 2011 1:51 PM
121	With the ability to access regulations onsite, reports can be written before you leave the site.	Aug 24, 2011 1:10 PM
122	there is a move to make audits a check the box exercise... there is great pressure to minimize costs and not look too deep because systemic problems are "too hard" to fix.	Aug 24, 2011 12:54 PM
123	There appear to be more structure to the process due to the organizations that now exist such as BEAC and IIAR and adoption of common practices throughout the companies	Aug 24, 2011 12:54 PM
124	Tracking and regulatory research is much quicker and responsive.	Aug 24, 2011 12:34 PM
125	Professional people properly executing the audit and tracking corrective action.	Aug 24, 2011 12:13 PM
126	Audits are much more computer oriented since many of the documents are available through the company's portal.	Aug 24, 2011 12:12 PM
127	Software audit systems; Facilities conducting self-audits on a regular basis to ensure compliance rather than ramping up prior to an audit	Aug 24, 2011 12:10 PM
128	electronic devices for real-time capture of information	Aug 24, 2011 11:58 AM
129	Less compliance auditing and more management systems, and corporate standards auditing.	Aug 24, 2011 11:47 AM
130	greater focus on: management systems; maturity levels of the management systems;more emphasis on risk related non compliance;audit to OHSAS requirements	Aug 24, 2011 11:33 AM
131	Use of electronic media and equipment allows greater access to information and thoroughness of the audit process. However, this also creates a recognition of additional gaps that are not significant and diffuse the audit focus.	Aug 24, 2011 11:24 AM
132	More emphasis on adding value to the sites. Identifying the root cause of deficiencies rather than listing all individual (and often minor) deficiencies.	Aug 24, 2011 11:24 AM
133	Continuing increase and complexity of regulations, more topics (security, product, etc)	Aug 24, 2011 11:23 AM
134	We are using external auditing software for both auditing and tracking corrective actions. The use of the software has increased the rigor and improved the documentation of our auditing and tracking processes.	Aug 24, 2011 11:22 AM
135	more reliance on data management systems/processing to monitor data. most are "gamed" to provide superficial or basic level responses which may not reflect the real conditions or working EHSculture ofthe organiation. Much more	Aug 24, 2011 11:15 AM

Page 2, Q6. In what ways do you think that auditing in the 21st century differs from audits conducted previous to this time?

integrated EH^S, not just environmental anymore. Deep topics like nanotechnology, biosafety, LEEDS certification, are often done as seperate audits by focused teams.

136	There is more emphasis on audits of the systems in place to ensure compliance. Also, traditional compliance audits now include reviews of the management systems used to maintain compliance. Risk assessment is also emphasized to identify environmental liabilities that may not be included in the scope of a compliance audit focusing on the usual environmental media. These new auditing areas require that auditors have new skill sets and a "systems" approach to doing audits.	Aug 24, 2011 11:15 AM
137	More experienced auditors and audit program has matured. Facility personnel are now used to the process and accept is as beneficial.	Aug 24, 2011 11:11 AM
138	more focus on systems and processes - compliance audits are done separate rom EMS system audits	Aug 24, 2011 10:54 AM
139	Technology and more values placed on primary and contributing causes	Aug 24, 2011 10:53 AM
140	Strict followup on closure of findings. Development of site compliance profile for customized protocol. We need this done for 26 countries! Use Intellex System to send notification of closure due dates. Track metrics monthly, # government inspections and #and value of fines, # of compliance findings open greater than 60 days (published to senior management monthly.	Aug 24, 2011 10:42 AM
141	It is becoming more routine, and less valued in the organizations.	Aug 24, 2011 10:41 AM
142	Performance based instead of documentation/compliance based. 21st century audits attempt to be more value-driven than just compliance driven.	Aug 24, 2011 10:34 AM
143	Facilities have more sophisticated EHS&S mangement systems	Aug 24, 2011 10:33 AM
144	Greater use of formal EHS management systems (ISO 14001, 18001 etc. Many facilities have a much more structured approach to EHS management. Greater use of IT to manage EHS (internet, intranet, databases, software for RCA etc.) Information management is much more efficient and enables auditors to access evidence much more easily,	Aug 24, 2011 10:32 AM
145	A higher tendency to rely on focused program audits in between wall to wall EHS&T audits.	Aug 24, 2011 10:28 AM
146	More risk-based focus. Wider scope. More involvement in results by senior/board levels.	Aug 24, 2011 10:22 AM
147	Technology	Aug 24, 2011 10:13 AM
148	We are seeing more process audits versus just compliance audits. companies are more focused on what is causing the CAPA's versus what they are.	Aug 24, 2011 10:11 AM
149	More risk-based. More technology to conduct applicability assessments of governmental requirements. More Management System Audits in addition to Compliance Audits.	Aug 24, 2011 10:10 AM
150	Some companies are now using detailed electronic checklists and automatic	Aug 24, 2011 10:08 AM

Page 2, Q6. In what ways do you think that auditing in the 21st century differs from audits conducted previous to this time?

	calculation of metrics.	
151	In most cases document review of the sites programs are prepared electronically which means better document organization and are easier to review.	Aug 24, 2011 10:06 AM
152	There has been a better trend to develop closed loop auditing management systems using database systems to ensure follow-up and closure of CAPAs.	Aug 24, 2011 10:05 AM
153	More automated tools available to conduct audits	Aug 24, 2011 10:04 AM
154	Much more formal - I am located in a corporate audit department consisting of finance, IT, ops, and EHS auditors. We are expected to follow IIA standards and practices. The EHS audit team memebrs each have at least 20 years of progressive EHS experience at plants prior to formal auditing. I see some organizations placing greater emphasis on comprehensive audits with reports read by senior management and CEOs.	Aug 24, 2011 10:00 AM
155	Greater interest/investment of "Compliance" and Sr, Management of the company.	Aug 24, 2011 9:55 AM
156	Less appetite for long, wordy audit reports. Push for more concise, brief, and focused report with CAPAs.	Aug 24, 2011 9:53 AM
157	Audits in the 21st century use the current technology to expidite the audit process and with the use of this technology the audit process generally is able to review in depth and in more detail than before.	Aug 24, 2011 9:50 AM
158	Improved business partnership with management and focus on risk management, not "check the box" audits	Aug 24, 2011 9:50 AM
159	More use of computer databases in planning, conducting and tracking closure, more tracking of CAPAs, more concern with legal liability after "knowing non-compliance" is revealed at the time of the audit. there are many more types of audits now that previously.	Aug 24, 2011 9:47 AM
160	It is all about costs - clients are asking us to do more with a lot less budget.	Aug 24, 2011 9:44 AM
161	I think processes are getting more relaxed as the programs mature. this manifests in less time on site, less time to prepare. There is a sense that "we've (the auditee) been through this multiple times already - we know the drill, we have a robust program and we don't expect much new to be found.	Aug 24, 2011 9:42 AM
162	electronically	Aug 24, 2011 9:40 AM
163	Better preparation, validation of criteria to accurately assess the implementation of Program Elements.	Aug 24, 2011 9:39 AM
164	Prior to the advent of ISO 14001, EHS audits were focused on compliance, whether to company policies or legislation. If there was a systems review, I don't believe it was at the level of depth that occurs today. As we move forward, the observations of noncompliance are stitched together in different weaves to determine patterns that point to system weaknesses. Without identifying system weaknesses, the value of an audit is diminished. Of course the purpose of audits at the corporate level, the level I manage, is to verify strengths, not just to identify weaknesses. We assume the facility and region people have identified	Aug 24, 2011 9:38 AM

Page 2, Q6. In what ways do you think that auditing in the 21st century differs from audits conducted previous to this time?

	the weaknesses themselves. Should we go to a facility where everything is looking great, we believe there is still value for the corporation.	
165	We need to review not just compliance but also the associated processes to ensure that a proper system is in place and effective	Aug 24, 2011 9:37 AM
166	More auditing on workplace level, and not only at EHS level or management level.	Aug 24, 2011 9:35 AM
167	more precise quesitons with evolution of the system dictating the depth	Aug 24, 2011 9:33 AM
168	Clients want it quicker and cheaper -- but they also want quality.	Aug 24, 2011 9:32 AM
169	The major difference is upper level management support.	Aug 24, 2011 9:31 AM
170	Perhaps it is more critical in that there is a need to demonstrate due diligence on the part of the C-Suite managers that they are aware of and can address quickly issues that may be in the field.	Aug 24, 2011 9:30 AM
171	Improved structure and format which is better formalized across all business lines	Aug 24, 2011 9:28 AM
172	The standard expectations of the audit program have become acculturated - facilities understand the expectations and have largely committed resources to address them. What we're constantlt asked is "why do we see the same issues year afetr year?" and "Are we getting better?"	Aug 24, 2011 9:25 AM
173	Not enough time	Aug 24, 2011 9:20 AM
174	environemntal audits today have more sensitivity due to regulatory and public scrutiny, discoverability, and potential negative impacts on the compay's reputation. The sophistication has increased dramatically.	Aug 24, 2011 9:17 AM
175	The use of formal protocols developed from third party sources (i.e BNA, Dakota)	Aug 24, 2011 9:13 AM
176	More focus on the management system aspects to promote compliance into the future.	Aug 24, 2011 9:12 AM
177	Internet, fast communication, lots more work can be done in planning phase prior to even visiting the site. Documentation using EWPs is just better than paper and pencil	Aug 24, 2011 9:10 AM
178	less use of paper checklists and written reports and more use of on-line auditing tools and reporting.	Aug 24, 2011 9:07 AM
179	The audits are more process driven instead of compliance driven.	Aug 24, 2011 9:07 AM
180	A formal audit plan is now required while this was not a requirement historically.	Aug 24, 2011 9:05 AM
181	Audits today are more systems driven and oriented.	Aug 24, 2011 9:04 AM
182	In past we use to look for negative items and now I look for positive as well as negative items	Aug 24, 2011 9:04 AM

Page 2, Q6. In what ways do you think that auditing in the 21st century differs from audits conducted previous to this time?

183	Greater reliance on on-line tools and data capture	Aug 24, 2011 9:03 AM
184	Technology. Electronic audit protocols that are easily configured to match the environmental impacts at the facility.	Aug 24, 2011 9:03 AM
185	We started in 1990 approx so now we have 20 years or experience. Our tools are much better, our process is tighter and the auditable units understand why and how the process works much better so they fight us less.	Aug 24, 2011 9:02 AM
186	More electronic equipment used cutting down on writted paper reports.	Aug 24, 2011 8:57 AM
187	Better prepatred now Vs past. Processes have improved with no secrets to the auditee.	Aug 24, 2011 8:57 AM
188	no comment	Aug 24, 2011 8:57 AM
189	more tools (internet, regulations on line, laptops, digital cameras, etc.) that help ensure the audit is thorough. (also quicker!)	Aug 24, 2011 8:56 AM
190	Less time... less resources more demands.	Aug 24, 2011 8:55 AM
191	Combination of Compliance Audits and Management System Audits.	Aug 24, 2011 8:55 AM
192	More regulation driven and more detailed	Aug 24, 2011 8:53 AM
193	none	Aug 24, 2011 8:52 AM
194	Scheduling & Budget are huge differences. No one has time anymore for audits. And they also do not have funding for the audits.	Aug 24, 2011 8:52 AM
195	More emphasis on verifying CAPAs follow-up and closure.	Aug 24, 2011 8:52 AM
196	No basis for comparison - only been auditing for 1.5 years.	Aug 24, 2011 8:49 AM
197	Use of internet and on-line auditing programs.	Aug 24, 2011 8:43 AM

Page 2, Q7. How have you evolved with these new methods/tools/technologies?

1	Well.	Aug 31, 2011 6:05 PM
2	CAPA managment is much easier.	Aug 31, 2011 3:03 PM
3	Tracking of corrective actions more transparent and less likely to be overdue.	Aug 31, 2011 2:49 PM
4	The nease of attaching picture, test documents and documentation of findings is improving rapidly,	Aug 31, 2011 1:35 PM
5	continuous training	Aug 30, 2011 10:02 PM
6	Decreased the amount of time to complete the entire audit process.	Aug 30, 2011 5:13 PM

Page 2, Q7. How have you evolved with these new methods/tools/technologies?

7	We use technology to the best of our advantage to keep up	Aug 30, 2011 2:29 PM
8	Make sure good Internet and intranet access is available. Review electronic files of facility prior to, during, and after audit.	Aug 30, 2011 1:56 PM
9	Yes.	Aug 30, 2011 1:26 PM
10	I have take electronic notes on a PDA for years.	Aug 30, 2011 12:22 PM
11	Try to adopt more efficient work processes	Aug 30, 2011 10:44 AM
12	I embrace them as much as possible. Communication is the key to suces and we can communicate easier, faster and more efficiently now	Aug 30, 2011 10:39 AM
13	?	Aug 30, 2011 10:25 AM
14	I just follow the program	Aug 30, 2011 10:06 AM
15	Welcome them - need more	Aug 30, 2011 9:41 AM
16	Client establishes the boundaries / technologies. Provide report in media designated.	Aug 30, 2011 9:41 AM
17	Establishing SOPs for the entire audit process from notification to closing findings with a Site.	Aug 29, 2011 9:52 PM
18	I continue to review compliance, but I am more interested in leadership and improvement in the environmental arena.	Aug 29, 2011 9:15 PM
19	We have re-designed our work programs and approach to work with management in the development of proper controls.	Aug 29, 2011 9:07 PM
20	Action registers are identified for all closure procedures.	Aug 29, 2011 8:39 PM
21	Leading edge, obviously.	Aug 29, 2011 6:18 PM
22	I continue focusing on depth rather than breadth.	Aug 29, 2011 6:10 PM
23	We have a proprietary audit system that is entirely digital.	Aug 29, 2011 5:27 PM
24	Finding new software tools to conduct, report and track audit findings.	Aug 29, 2011 5:05 PM
25	Just starting our auditing program	Aug 29, 2011 4:40 PM
26	We have used an Apple iPad to access excel spreadsheet with checklist questions, we can get state and local regulations off of the internet	Aug 29, 2011 4:38 PM
27	Protocols have improved and we focus on the highest risk to the business and the company.	Aug 29, 2011 4:19 PM
28	New software and reporting tools	Aug 29, 2011 4:06 PM
29	Incorporating prioritization for detailed audit work based upon site-specific risk factors	Aug 29, 2011 4:02 PM
30	Hopefully	Aug 29, 2011 3:39 PM

Page 2, Q7. How have you evolved with these new methods/tools/technologies?

31	I use them to ensure action taken and a system is in place to ensure continued compliance.	Aug 29, 2011 3:24 PM
32	Right along with them.	Aug 29, 2011 2:59 PM
33	Use of documentation.	Aug 29, 2011 2:32 PM
34	Leaned to work a computer	Aug 29, 2011 2:28 PM
35	Training	Aug 29, 2011 2:27 PM
36	Use a subscription service (STP) to provide state-differences that are reviewed prior to an audit.	Aug 29, 2011 2:21 PM
37	Communication has improved greatly and is very beneficial. Also the new tech allows more detailed reports to be written.	Aug 29, 2011 2:12 PM
38	E-checklists Use of a digital dictaphone to capture observations and thoughts.	Aug 29, 2011 2:09 PM
39	More computers are used.	Aug 29, 2011 2:00 PM
40	We focus on continuous improvement by measuring the current audits versus past audits from top to bottom. The checklists, completion of action items, and measures against industry best practice is our ultimate goal.	Aug 29, 2011 1:59 PM
41	Yes - per client specifications and our firm's recommendations and suggestions.	Aug 29, 2011 1:55 PM
42	able to review more data in less time.	Aug 29, 2011 1:49 PM
43	Shorter audits	Aug 29, 2011 1:46 PM
44	Our pre-audit preparations now include establishing an ftp account for the facility to upload documents responsive to our pre-audit questionnaire and document request.	Aug 29, 2011 1:46 PM
45	somewhat	Aug 29, 2011 1:43 PM
46	Focus on new reagulations as required by location and operations.	Aug 29, 2011 1:35 PM
47	Audit findings are applied to all locations if relevant.	Aug 29, 2011 1:35 PM
48	We have begun to incorporate electronic notification and tracking of audit findings..	Aug 29, 2011 1:23 PM
49	More use of electronic tools to improve efficiency and consistency of the audit process	Aug 29, 2011 1:22 PM
50	Have the passion for auditing -- it's not just a paycheck. This motivates me to stay on top and be the best at what I do.	Aug 29, 2011 1:21 PM
51	Much better understanding and knowledge of environmental issues holistically; how they interactive.	Aug 29, 2011 1:20 PM
52	Using these resources, accessed through a laptop with Internet access	Aug 29, 2011 1:17 PM
53	With a lot of effort.	Aug 29, 2011 1:14 PM

Page 2, Q7. How have you evolved with these new methods/tools/technologies?

54	We have put technology in place to ensure audit findings are management to completion, and highest risk findings are verified by upper EHS management.	Aug 29, 2011 1:11 PM
55	become more efficient	Aug 29, 2011 1:04 PM
56	I have adopted the technology and have been involved in their role out.	Aug 29, 2011 1:04 PM
57	Focus more on improving management processes.	Aug 29, 2011 1:02 PM
58	While we do not incorporate electronic workpapers yet, I believe we have done our best in light of new methods and tools.	Aug 29, 2011 12:54 PM
59	Yes	Aug 29, 2011 12:46 PM
60	informal to a formal program	Aug 29, 2011 12:44 PM
61	I've merely become more savvy examining these new types of records.	Aug 29, 2011 12:40 PM
62	Increased training and communication on risk based auditing	Aug 29, 2011 12:33 PM
63	Still use the same approach and tools, however focus is now on long-term sustainability issues.	Aug 29, 2011 12:33 PM
64	request as much preaudit material in advanced	Aug 29, 2011 12:32 PM
65	Try to stay competent in new IT tools	Aug 29, 2011 12:27 PM
66	I use online regulatory resources a great deal when I am auditing now.	Aug 29, 2011 12:25 PM
67	Use of personal laptop computers.	Aug 29, 2011 12:22 PM
68	Try to have documentation in laptop	Aug 29, 2011 12:21 PM
69	part of development	Aug 29, 2011 10:54 AM
70	We use Dakota auditor for our EHS compliance audits	Aug 29, 2011 10:37 AM
71	Adopted some new computer or web based technologies. Would like to do more	Aug 29, 2011 10:35 AM
72	Use digital photography to document some findings and/or corrective actions. Electronic reporting. Investigating alternative means to classify and/or characterize audit findings to leverage electronic tools and enhance data analysis and trending.	Aug 29, 2011 10:25 AM
73	Tweaking of protocols and scopes with feedback provided by customers, leaders and auditors.	Aug 29, 2011 9:03 AM
74	I try to rely on the electronic record and document availability as much as possible as the start of my audit, then talk to the subject matter expert to verify a finding or non-finding, and then electronically record it.	Aug 29, 2011 7:59 AM
75	Will soon be conducting management system audits and other types of audits (i.e., GHG, CRR).	Aug 28, 2011 12:52 PM
76	No problem	Aug 27, 2011 7:54 PM

Page 2, Q7. How have you evolved with these new methods/tools/technologies?

77	Adopting tools and technology to take advantage of the resources.	Aug 27, 2011 7:02 PM
78	well	Aug 27, 2011 2:20 PM
79	Documented verification of audit violations CAPA's has improved this area for me.	Aug 27, 2011 3:59 AM
80	Reduced annual number of audits based on risk due to budget constraints. Established a risk based auditing approach for executing audits. Developed scoping tool to assist with business justification based on risk. More emphasis on guest auditors and less on in house audit resources. Performed virtual multi-site audits using web conferencing tools.	Aug 26, 2011 4:26 PM
81	as needed	Aug 26, 2011 2:23 PM
82	MS yes, sustainability no	Aug 26, 2011 12:16 PM
83	Our process strives for continuous improvements, constantly evaluating the process, which has led to a more efficient and productive auditing process.	Aug 26, 2011 11:36 AM
84	Introduced and implemented the change with upper management approval.	Aug 26, 2011 9:28 AM
85	I have evolved into the computer age using regulatory regulation software and internet resources.	Aug 26, 2011 9:22 AM
86	Include EMS along with regulatory drivers	Aug 26, 2011 8:25 AM
87	See #6.	Aug 26, 2011 6:40 AM
88	Use tools wherever possible but we use them only as a result capturing system. It is not used to drive the audit process as we want to give maximum people interaction time to auditors.	Aug 25, 2011 7:43 PM
89	Databases, electronic tracking, enhances program initiatives, yearly reviews of the program with added value recommendations for changes, use of Professional Auditors.	Aug 25, 2011 2:55 PM
90	More pre-work can be done before arriving on site.	Aug 25, 2011 2:54 PM
91	using a database which eliminates errors in spreadsheets, and standardizes formats. Working on standardizing formats for records and plans.	Aug 25, 2011 2:49 PM
92	Better protocols and better auditor training.	Aug 25, 2011 2:19 PM
93	I rely heavily upon electronic tools, such as the internet and email, for obtaining, cross-checking, and exchanging information. When electronic documents are available, this has reduced significantly the stacks of paper formerly needed to achieve part of an audit. This has also facilitated advance preparation for the audit, where facilities cooperate.	Aug 25, 2011 9:29 AM
94	Stay up to date with current trends and approaches, read literature, participate in conferences, etc.	Aug 25, 2011 9:14 AM
95	I use a lot more tools to prepare, electronic data review prior to an audit, tracking of the audit reports electronically.	Aug 25, 2011 8:59 AM

Page 2, Q7. How have you evolved with these new methods/tools/technologies?

96	Use a Access database to generate the audit report into a word document	Aug 25, 2011 7:26 AM
97	makes audit more complex, slower to perform	Aug 24, 2011 11:03 PM
98	Completed ISO 14001 Lead Auditor training.	Aug 24, 2011 8:35 PM
99	Not much evolution as most auditors still prefer a compliance checklist approach. Additional training, new tools and a different work paper approach would be required for a system management audit program. Although it would be initially costly (work hours, training cost, etc), this audit program would be more valuable in ensuring compliance sustainability.	Aug 24, 2011 8:23 PM
100	more front end prep and improved auditor selection based on capability rather than management rank	Aug 24, 2011 8:09 PM
101	about half way	Aug 24, 2011 7:35 PM
102	Yes	Aug 24, 2011 7:24 PM
103	In order to keep up I have had to improve my relational database skills, learn shortcuts and tricks in Excel, and participate in professional networking and internet blogs on relevant topics.	Aug 24, 2011 6:29 PM
104	Has become more efficient and streamline.	Aug 24, 2011 6:09 PM
105	yes	Aug 24, 2011 5:31 PM
106	I've always encouraged new ideas to improve the process/program.	Aug 24, 2011 4:53 PM
107	We have developed web-based approaches to track the follow-up to findings; followed by follow-up audits.	Aug 24, 2011 4:42 PM
108	Culture-based technology	Aug 24, 2011 4:38 PM
109	trained better	Aug 24, 2011 4:36 PM
110	Improving prep materials and asking shop floor employees questions on their knowledge.	Aug 24, 2011 4:11 PM
111	Better regulatory understanding	Aug 24, 2011 4:03 PM
112	Yes, but do not agree with approach since it provides misleading expectation that the audit is more in depth.	Aug 24, 2011 3:25 PM
113	a few occasions	Aug 24, 2011 3:10 PM
114	Directly.	Aug 24, 2011 2:52 PM
115	Professional certifications require continuing education, so I try to round out my knowledge of "new emphasis" areas through seminars and other training venues.	Aug 24, 2011 2:42 PM
116	The evolution is easy because it makes auditing more efficient and consistent. I have gone from paper checklists, polaroid film, and snail mail to tablets with digital photos and video with real-time online access to data.	Aug 24, 2011 1:58 PM

Page 2, Q7. How have you evolved with these new methods/tools/technologies?

117	Not a great survey question	Aug 24, 2011 1:51 PM
118	I have gotten more adept at writing audit findings fast and efficiently.	Aug 24, 2011 1:10 PM
119	I have sought out other work to avoid compromising my ethics.	Aug 24, 2011 12:54 PM
120	We now use a software package (AuditXL) to generate protocols and track audit findings etc. where before it was more of a manual process through MS Word, Excell, Access etc.	Aug 24, 2011 12:54 PM
121	Yes	Aug 24, 2011 12:34 PM
122	Knowing the value in the audit and followup system and seeing recommendations being implemented.	Aug 24, 2011 12:13 PM
123	We work to use the portal more and look at the information prior to arriving onsite.	Aug 24, 2011 12:12 PM
124	Developed audit software tools both for the facility to conduct self audits as well as for the audit team; participate in self assessmentf teams	Aug 24, 2011 12:10 PM
125	Much of the audits are paperless. Accept for the site walk through.	Aug 24, 2011 11:47 AM
126	Implementing OHSAS;using a maturity model to measure the management system	Aug 24, 2011 11:33 AM
127	Incorporated use of electronic resources in audit preparation and reduced requirement for documents at the site.	Aug 24, 2011 11:24 AM
128	Not quickly enough...need more resources and tools.	Aug 24, 2011 11:23 AM
129	The audit protocols being longer (1500 to up to several thousand questions) requires longer on site audit times and additional staffing. Most audits are 3-5 days. We use a minimum of 2 auditors even for small sites.	Aug 24, 2011 11:22 AM
130	Re-training in evolving speciality areas. Attending prof. conferences and membership in professional organizations to acquire knowlege of practices and issues. In the last 5 years I've specialized in nanotechnology, biotechnology and laser safety.	Aug 24, 2011 11:15 AM
131	I have been trained as an ISO 14001 auditor, have done risk assessments, and have become familiar with business systems used by my company for plant maintenance, chemical approval, safety, and contract management since these systems are used for environmental management.	Aug 24, 2011 11:15 AM
132	More formal finding and CAPA tracking tools are available.	Aug 24, 2011 11:11 AM
133	Expecting clients to take a bigger picture look than merely meeting regulatory requierements.	Aug 24, 2011 10:54 AM
134	Purchased items that provide electronic data.	Aug 24, 2011 10:53 AM
135	I lead the audit program and am responsible for implementing improvements.	Aug 24, 2011 10:42 AM
136	Better methods of referencing regulatory citations. Better methods of capturing and re-using relevant audit protocols.	Aug 24, 2011 10:41 AM

Page 2, Q7. How have you evolved with these new methods/tools/technologies?

137	We have a multilingual electronic audit system. The corrective action plan is developed during the closing meeting. Completion of action items is tracked electronically with an E-mail notification of due dates and/or past due activities.	Aug 24, 2011 10:40 AM
138	Auditing and IT tools have improved (e.g., Dakota, ART, etc.) as compared to the old days.	Aug 24, 2011 10:34 AM
139	I have stayed abreast of the developments	Aug 24, 2011 10:33 AM
140	Our audit protocol is structured to match the key components of ISO standards. Intranet used to store and share audit information, protocols, audit report, planning documentation, action tracking etc.	Aug 24, 2011 10:32 AM
141	Developed a stronger reliance on regulation-derived, independently produced protocols, more frequent use of locally knowledgeable EHS&T auditors where available, and more engagement with business EHS managers to identify root cause of audit findings, and update internal controls post audit.	Aug 24, 2011 10:28 AM
142	focus on more clearly communicating audit results.	Aug 24, 2011 10:22 AM
143	Adapted	Aug 24, 2011 10:13 AM
144	Staff has to be better prepared to perform process audits and look for root causes. There must also be tools in place to trend audit data to allow people to help determine what items are best to look for audit issues.	Aug 24, 2011 10:11 AM
145	Gotten used to them - they have pros and cons.	Aug 24, 2011 10:08 AM
146	I created an EHS Webpage structuring all my programs and procedures.	Aug 24, 2011 10:06 AM
147	In my current position we utilize a robust database system to manage all of our safety & health surveillance work to include inspections, incidents& illnesses and of course our auditing process.	Aug 24, 2011 10:05 AM
148	We use a continuously improving checklist that is a "living document" to always ensure the most current checklists are being used to conduct the audit.	Aug 24, 2011 10:04 AM
149	Much more efficient use of time and attention to detail thru use of auditing software such as TeamMate (e.g., workpapers, scheduling). Also now have opportunity to attend seminars such as project management, root cause analysis, etc. as applicable to auditing.	Aug 24, 2011 10:00 AM
150	What does this question mean, which methods and technologies?	Aug 24, 2011 9:55 AM
151	reports are typically no longer than 3-4 pages, including intro details, exec summary, findings and corrective actions	Aug 24, 2011 9:53 AM
152	The auditing process is a continuous process of learning new methods/tools/technologies. As a part of this process it is important to continuously learn and improve on these new methods/tools/technologies.	Aug 24, 2011 9:50 AM
153	IA is viewed as a resource to manage risk. IA has more versatile skills in present day	Aug 24, 2011 9:50 AM
154	More automated tools, more use of databases and follow-up management.	Aug 24, 2011 9:47 AM

Page 2, Q7. How have you evolved with these new methods/tools/technologies?

155	I am conducting less audits because we are unable to complete a thorough audit for what companies are willing to budget for.	Aug 24, 2011 9:44 AM
156	As a third party provider, my bids/scope/price reflect competitive reality as well as a sense that less is expected.	Aug 24, 2011 9:42 AM
157	no	Aug 24, 2011 9:40 AM
158	Current methodology and execution of ESH auditing processes has become invaluable and positive experience when identifying root cause solutions for shortcomings in meeting regulatory requirements. Focusing on process, not on numbers or persons facilitates management understanding and acceptance when identifying areas for improvement, developing corrective actions, and highlights best practices for recognition and continuous improvement through out the organization. Overall positive approaches in identification and resolution of deficiencies result in positive, long term organizational solutions.	Aug 24, 2011 9:39 AM
159	Our audits are always compliance and systems, both being very important. This applies to operations that are not pursuing accredited certification to one of the management-system standards as well.	Aug 24, 2011 9:38 AM
160	Yes, I have completed some program audits	Aug 24, 2011 9:37 AM
161	75%	Aug 24, 2011 9:35 AM
162	set precise plans on how to facilitate and get to the end result and exhibit methods to get there	Aug 24, 2011 9:33 AM
163	Struggling to do so.	Aug 24, 2011 9:32 AM
164	I am not sure what you mean by "these new methods/tools/technologies."	Aug 24, 2011 9:31 AM
165	Trying to stay current with the methods/tools/technologies that are out there.	Aug 24, 2011 9:30 AM
166	Prepared and used	Aug 24, 2011 9:28 AM
167	We have instituted programs like "Helper" audits where we audit 3 days and do root cause / corrective action development for 2 days. We just tried a "Performance" audit where the auditors walk around with supervisors and stand at points of Safety non-compliance and work through the issue so that the employees understand the requirements and implementation.	Aug 24, 2011 9:25 AM
168	somewhat -still comes down to the auditors interaction with the auditees.	Aug 24, 2011 9:20 AM
169	I have kept ahead of the sophistication by preparing for third party audits in a defensive mode and used this sophistication in the offensive mode particularly during M&A activities.	Aug 24, 2011 9:17 AM
170	Are used to develop protocols and to identify changes in regulatory requirements	Aug 24, 2011 9:13 AM
171	We have implemented an overarching management system that goes beyond EHS and includes operations.	Aug 24, 2011 9:12 AM
172	Of course...Darwin got a lot wrong, but he did say complexity of species through time. We now work smarter not harder.	Aug 24, 2011 9:10 AM

Page 2, Q7. How have you evolved with these new methods/tools/technologies?

173	Not yet. We are hoping to implement comprehensive audit management software in 2012, dependign on budget and staffing.	Aug 24, 2011 9:07 AM
174	received training on new technology.	Aug 24, 2011 9:07 AM
175	We have implemented process audits more similar to those performed by internal auditors to look at objectives, risks and controls related to the process being audited.	Aug 24, 2011 9:07 AM
176	A formal audit plan can limit your activities. The key is to make the audit plan global enough (but still pertinent) that if an issue arises while auditing, it can be adequately captured.	Aug 24, 2011 9:05 AM
177	Focused more on systems as being the items that cause conditions.	Aug 24, 2011 9:04 AM
178	Over time my methods has improved and my audits are more positive. I am able to track items more efficient	Aug 24, 2011 9:04 AM
179	Become proficient at using on-line tools and participated in the selection of databases and reporting systems.	Aug 24, 2011 9:03 AM
180	Our audits are more detailed and in most cases more detailed than audits performed by regulatory agencies.	Aug 24, 2011 9:03 AM
181	We are trying to continually improve and develop new tools each year that make future audits more effective	Aug 24, 2011 9:02 AM
182	Hard to get started but once you start working in the system it is faster and more accurate.	Aug 24, 2011 8:57 AM
183	Certainly...as described above plus train auditors prior to auditing is a must	Aug 24, 2011 8:57 AM
184	no comment	Aug 24, 2011 8:57 AM
185	Keep teaching this old dog new tricks!	Aug 24, 2011 8:56 AM
186	Paperless audits due to technology.	Aug 24, 2011 8:55 AM
187	We have utilized computer aided audit modules and CAPA tracking	Aug 24, 2011 8:53 AM
188	none	Aug 24, 2011 8:52 AM
189	Cover more in less time. This can be done by better pre-visit preparation.	Aug 24, 2011 8:52 AM
190	Improved audit data management to facilitate verifying CAPAs follow-up and closure.	Aug 24, 2011 8:52 AM
191	See #6 above.	Aug 24, 2011 8:49 AM
192	More use of internet and computer programs.	Aug 24, 2011 8:43 AM

Page 3, Q8. What is the best measure of auditor competency?

Please rank the following in order of effectiveness, with "1" being Most effective and "6" being Least effective:

1	Very difficult to assess objectively. Technical knowledge is very important,	Aug 29, 2011 6:43 PM
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Page 3, Q8. What is the best measure of auditor competency?

Please rank the following in order of effectiveness, with "1" being Most effective and "6" being Least effective:

	competency in regulatory/ other audit requirements is key. But, the best auditors also have the ability to communicate effectively, establish a positive working relationship with the auditee, and excel in conflict management. I am a CPEA, but those qualities are very hard to assess.	
2	My real #1 would have been observations of third-party (consultant) auditors in the field by participating on audits.	Aug 29, 2011 5:37 PM
3	This speculative as our first audits are scheduled for this September & October	Aug 29, 2011 4:49 PM
4	I feel my answer is somewhat biased as a consultant. When staffing an audit team I will always base auditor competency on first hand evaluations. While 3rd party certification is an important credential it is not always representative of how an auditor will present themselves and be received by the client.	Aug 29, 2011 2:16 PM
5	Has it helped them with lowering injury rates, or continual improvement of all EHS issues. Bottom line, has it helped the auditee facility.	Aug 29, 2011 1:29 PM
6	Auditors must adequately prepare for every audit – no third party review or external influence can ensure a creditable audit program without it.	Aug 29, 2011 12:42 PM
7	ranking presumes that supervisor may not be an experienced auditor	Aug 27, 2011 7:13 PM
8	Peers are not involved in audits. Only one corporate auditor. Team is one corporate auditor and one contract lead auditor. Supervisors are not directly engaged in the audit process.	Aug 26, 2011 9:59 AM
9	Training and qualifications are very important, however, real competence, especially the ability to be flexible and perform up to standards under varying conditions can only be effectively evaluated during actual audits by those working with the auditor.	Aug 26, 2011 6:54 AM
10	QAQC	Aug 24, 2011 7:42 PM
11	There is a distinction between auditor "qualifications" (i.e. certification, training) and "competency" (i.e. how does one perform on the job).	Aug 24, 2011 6:47 PM
12	Having professional credentials in auditing as well as professional certifications in the technical fields of interest,,, CIH, CSP, CHP, CHMM, etc. along with CPEA, CIA, CPA, CQE etc. Both aspects are vital to the internal validity of the audit/assessment & to provide sufficient assurance that the subject matter is effectively evaluated.	Aug 24, 2011 1:31 PM
13	Not really sure - we don't do much of this.	Aug 24, 2011 11:31 AM
14	This list fails to address auditor self assessments - auditors generally know more about their capabilities and shortcomings than anyone else. In addition, current resumes, categorization of audit experiences with project descriptions, and demonstrated knowledge with various EHS&T subjects are good indicators of auditor competence.	Aug 24, 2011 10:51 AM
15	I ranked auditor certification low, but I believe it should be a precursor to being an auditor AT ALL.	Aug 24, 2011 10:50 AM

Page 3, Q8. What is the best measure of auditor competency?

Please rank the following in order of effectiveness, with "1" being Most effective and "6" being Least effective:

16	The forced ranking format makes this a difficult question. I think auditee feedback, peer reviews, and third-party auditor certification are all about equal in importance at a "3". The audit team leader is in the best position to evaluate competency of an auditor assuming he/she is competent and works closely with the auditor during an audit.	Aug 24, 2011 10:24 AM
17	Training and certification certainly helps and is a baseline determination for qualifications.	Aug 24, 2011 10:12 AM
18	A person can complete tests very well, but you cannot test a person's personality or bed-side manner as I say. How a person relates to and questions facility personnel is a critical factor in evaluating the performance of an auditor.	Aug 24, 2011 10:08 AM
19	By supervisor I mean the auditor's supervisor, not the site supervisor. The supervisor should have a better understanding of expectations.	Aug 24, 2011 9:30 AM
20	Answer really depends on WHAT competency -- technical knowledge vs soft skills, for example...regulatory knowledge can be determined by exam.. soft by auditee. I took into consideration the whole package for my answer.	Aug 24, 2011 9:03 AM
21	Evaluation from an experienced auditee is the most effective. They know when we do a good job auditing or not.	Aug 24, 2011 9:01 AM
22	As an auditor, this is impossible to answer. Any answers you get would be jaded since they represent the subjective opinion of the auditor based on their personal experience. Corporate risk managers, corporate law departments or others should be answering this question.	Aug 24, 2011 8:57 AM

Page 3, Q9. How should auditor performance be evaluated as a determinant of auditor competency?

Choose the ONE response you believe BEST answers this question:

1	A combination of #2 and #4.	Aug 29, 2011 5:37 PM
2	As a third party auditor I feel it is imperative to receive feedback from my client (not the person I'm individually auditing) -- the client's overall team, collectively.	Aug 29, 2011 1:28 PM
3	It depends on the desired outcome. Evaluating performance after each audit allows strengths and weaknesses to be highlighted under varying conditions. Periodic evaluations smooth some of the peaks and valleys but reduces the ability to dig into the details of the auditor's performance. Documented evaluations after each audit would be tedious.	Aug 26, 2011 6:54 AM
4	I think we need more auditor mentoring! The mentoring process should involve continuous evaluation across all audit activities, and should include benchmarks for improvement. I think formal evaluation should be used as a complement to the mentoring process. Formal evaluation should be done periodically using the benchmarks and other framework established in the mentoring process. I would	Aug 25, 2011 9:57 AM

Page 3, Q9. How should auditor performance be evaluated as a determinant of auditor competency?

Choose the ONE response you believe BEST answers this question:

recommend a ranking system (3 stars, 5 stars, etc.) based upon auditor skill sets identified industry-wide and even breaking them out into sectors to indicate proficiency in particular kinds of audits (waste facility audits, comprehensive compliance audits, business risk audits, etc.).

- | | | |
|---|--|----------------------|
| 5 | Auditors should be evaluated across all audit activities but not necessarily continuously (i.e. during each audit). Random reviews of ~20% is a good place to start. | Aug 24, 2011 6:47 PM |
| 6 | Like most of us we have multiple job functions and so every couple of years a review would ok. | Aug 24, 2011 9:17 AM |

Page 3, Q10. By the year 2020, which of the “drivers” below would be likely to promote a higher percentage of EHS auditors being certified by an independent, accredited organization (such as the Board of Environmental, Health and Safety Auditor Certifications) than at present?

- | | | |
|---|--|-----------------------|
| 1 | I would like to see the states pass such laws, while I do not want it to be Federally mandated. | Aug 29, 2011 2:17 PM |
| 2 | We need auditor mentoring programs in order to grow skilled auditors in the existing and forthcoming personnel pools. Formal apprenticeships that lead to certification would be more likely to provide quality programs that produce quality auditors than any other type of arrangement. The mentoring programs need to be highly accessible to individuals, particularly in the financial sense. Cost offsets could be gained by allowing mentors to gain CEUs or credit for the education requirements associated with maintaining certification, and by offering similar incentives or requirements for mentorees to serve as mentors in turn, once they are qualified. | Aug 25, 2011 9:57 AM |
| 3 | Regulation will not produce a crop of "better" auditors. Improved tools, techniques and higher standards as the auditing process evolves | Aug 24, 2011 7:42 PM |
| 4 | SEC could be a driver for environmental liability disclosure. | Aug 24, 2011 10:51 AM |
| 5 | Commercial requirements, such as in an RFP for work or as a requirement to fulfill a job opening. | Aug 24, 2011 10:50 AM |
| 6 | Client requirements | Aug 24, 2011 10:02 AM |

Page 3, Q11. How is quality best defined for an individual EHS audit?

Choose the ONE response you believe best answers this question.

- | | | |
|---|---|----------------------|
| 1 | Audit findings are significant and when acted upon will have a positive impact on | Aug 31, 2011 3:00 PM |
|---|---|----------------------|

Page 3, Q11. How is quality best defined for an individual EHS audit?

Choose the ONE response you believe best answers this question.

	the EHS program.	
2	The primary purpose of EHS audits should be the establishment of effective processes that address the findings of the audit. This requires the development of an effective CAP that addresses the root causes of the findings identified (almost always multiple step) and a process for verifying the implementation of these processes. If this is done appropriately, the best measure of quality of an audit is the inverse of the number of repeat findings at the next audit at that location.	Aug 29, 2011 6:43 PM
3	Audit team identifies non-compliance situations with good recommendations for sustainable closure, and an exchange of best management practices occurred between the auditors and auditees.	Aug 29, 2011 5:29 PM
4	At the end of the day are there positive impacts being seen	Aug 29, 2011 4:49 PM
5	Don't prefer any of hte answers here individually. There is a combination of feedback and meeting the goals set.	Aug 29, 2011 4:37 PM
6	I don't think there is one. The highest quality EHS auditor is one that 1) has expertise or extensive experience in the subject matter; 2) has developed skills for auditing through education and experience (oral and written communication, conflict management, leadership skills, and others); and 3) has a high ethical standards as well as understanding the protocols.	Aug 29, 2011 1:48 PM
7	The number and quality of findings in the draft report are essetnially the same as in the final report.	Aug 29, 2011 12:46 PM
8	The audit was thorough and accurate in its coverage of the area and requirements being audited. The auditee fully understood the findings, including reasons for them, and what is necessary for complete remediation and future prevention. In short, regardless of what was or was not found, the best audits are audits that build relationships and are focused on results and understanding.	Aug 29, 2011 12:35 PM
9	The audit format is only as good as the person/s conducting the audit, and if they lack field experience they tend to be poor auditors and create an antagonistic atmosphere with operations.	Aug 27, 2011 4:08 AM
10	A combination of all the above.	Aug 26, 2011 11:43 AM
11	All environmental programs that apply to the auditee have been reviewed in detail. We do not use audit protocols - we use senior level audit contractors along with in-house auditors.	Aug 26, 2011 9:49 AM
12	I would take the last option (no agency-identified issues) and ADD that the auditors identified potential risks that could be addressed to avoid future liabilities or compliance concerns.	Aug 26, 2011 6:54 AM
13	Strong evidence through notes and reports that a thorough, deep, and effective audit was conducted using logic and trails.	Aug 25, 2011 7:19 PM
14	I think quality is relative and depends upon the values of the entities being	Aug 25, 2011 9:57 AM

Page 3, Q11. How is quality best defined for an individual EHS audit?

Choose the ONE response you believe best answers this question.

	audited and/or asking for the audit. This is too variable to answer with any one of the responses above, when all are good candidates.	
15	Besides the "No agency-identified issues...." option I'd add that the audit evaluated controls that would ensure compliance with regulations.	Aug 25, 2011 8:20 AM
16	The quality of the auditors output, especially with exception and to include exemplary findings. AND random QAQC program.	Aug 24, 2011 7:42 PM
17	No issues identified by any other group. If the audit activity is effective; all issues of concern are identified and corrected and systems/processes are put in place to assure repeat problems are identified and prevented. Management at all levels take an active role in continuous self-assessment and correction of all identified issues. The audit/ self-assessment process becomes an integral part of day to day business. Corrective actions are prioritized and openly discussed.	Aug 24, 2011 1:31 PM
18	Our best outcome is when the auditors and auditees feel like a training session, rather than an audit has occurred. So that a great deal of knowledge has been transferred both ways.	Aug 24, 2011 12:48 PM
19	Answer differs if a regulatory-only audit or a management systems audit.	Aug 24, 2011 12:07 PM
20	All of the audit scope is covered, non-compliance is identified by the findings, interactions with site personnel are positive, and the site management indicates that the audit was beneficial.	Aug 24, 2011 11:17 AM
21	All established audit procedures and protocols have been ACCURATELY completed and action plans developed.	Aug 24, 2011 10:48 AM
22	The correct answer is the audit purpose was accomplished.	Aug 24, 2011 10:17 AM
23	This measure of quality is made up of positive feedback from audited operations, feedback from the management unit that requested the audit (legal, administrative board, etc) all procedures completed and protocols thoroughly addressed.	Aug 24, 2011 10:12 AM
24	Positive feedback from audited operations that did not perform well, or acknowledgment from an excellent facility that the suggestions offered were very good and they had not been thought of before the audit. In either case, facility management commenting on the collaborative, team-based approach that provided significant education and insight for his/her people.	Aug 24, 2011 10:08 AM
25	A combination of feedback from audited operations, applicable protocols being completed by the audit team, and no agency-identified issues at any inspections following the audit other than those issues already identified during the subject audit.	Aug 24, 2011 10:04 AM
26	audit is identified based on risk and has clearly defined objectives, scope, and focus areas. Observations clearly identify higher risk issues and insight into root causes. The audit report and corrective action plan is embraced by senior management and expectations are to fix the issues identified.	Aug 24, 2011 10:01 AM

Page 3, Q11. How is quality best defined for an individual EHS audit?

Choose the ONE response you believe best answers this question.

27	The audit executed and documented in accordance with all auditing standards. Issues are clearly communicated and documented.	Aug 24, 2011 9:20 AM
28	I find I am harder on myself than others. If I am satisfied with the quality/depth/conformance of my audit, then it is a report that is accepted by others.	Aug 24, 2011 9:19 AM
29	It is really a combination of these things to get a bigger picture of depth of the audit, how the audit was conducted, whether it is perceived as value added and whether compliance is better afterward or a learning experience is provided to the auditee.	Aug 24, 2011 9:14 AM
30	Closure of identified issues lowers EHS risk to the facility and the company	Aug 24, 2011 9:09 AM
31	Review was thorough, fair and covered all areas intended. Most importantly, it assisted the facility in improving its compliance status and/or management systems. audits should be used as a tool for the facility/company.	Aug 24, 2011 9:03 AM
32	The findings are beneficial to the client and can thus be used to make the client's operation closer to perfection.	Aug 24, 2011 9:01 AM
33	Audit team identified all significant compliance and EHS risks during the audit and minimized the focus on lower compliance and EHS risks.	Aug 24, 2011 8:55 AM

Page 3, Q12. What is the most effective means of assuring quality in an EHS audit?

Please rank the following, with "1" being Most effective and "8" being Least effective:

1	You really need to include the option of internal and external auditors on the same audit. I have been involved in many such audits, which in some cases can be the best of both worlds, where the external auditor adds a specific expertise, such as H&S.	Aug 29, 2011 6:43 PM
2	Assigning the "right" auditors to a given audit team based on the type of facility, applicable regulatory programs and the auditor's expertise. For example, when auditing a facility that operates under a Title V Permit, you need to select an auditor with a good understanding of the air regulations and experience working with major sources.	Aug 29, 2011 2:16 PM
3	I don't like the ranking system. Several items could be Most Effective.	Aug 29, 2011 2:08 PM
4	Some items are of equal value but I could not give different items the same ranking.	Aug 29, 2011 1:43 PM
5	Securing the resources (time, budget, references, etc) to ensure that the audit team is well prepared/knowledgeable with the auditee operations. Maintain an "internal" library of past finding and implement a root-cause analysis when warranted, it might be a useful tool in assessing site-specific risk; Internally	Aug 24, 2011 8:42 PM

Page 3, Q12. What is the most effective means of assuring quality in an EHS audit?

Please rank the following, with "1" being Most effective and "8" being Least effective:

	formalize a risk assessment process so that "risk" is less subjective and audits scope better defined.	
6	Audit teams must have technical qualifications as well as audit qualifications. the audit must follow an established protocol and have the right people both internal and external to assure independence. Too often; there are ineffective persons assigned to conduct audits resulting is very shallow, check the box exercises that result in a false assurance but also "don't rock the boat". a ture feel good exercise...	Aug 24, 2011 1:31 PM
7	The responses to this question depend to a large extent on whether a company has an internal auditing group or not and whether there is a mature audit program or not. My company has an internal audit group and a mature program.	Aug 24, 2011 10:24 AM
8	A combination of factors produces the best results - qualified, dedicated auditors, godd program & preparation, using internal and external auditors gives a more balanced look, providing detailed, operation specific knowledge combined with broad, general knowledge of audit techniques and other industries.	Aug 24, 2011 10:12 AM
9	EHS Audit located within Corporate Audit function with VP Audit reporting to Board is what is meant by use of internal personnel.	Aug 24, 2011 10:01 AM
10	This evolves over time. As an organization's audit program changes, these rankings will also evolve	Aug 24, 2011 9:01 AM

Page 3, Q13. Is it important for an EHS audit program to conform to an established set of audit standards?

1	We are using the IIA standard and BEAC standard as a means of testing the overall Audit program for gaps and improvement opportunities.	Aug 31, 2011 1:47 PM
2	must adhere to guidelines so everyone in the organization regardless of business unit is being held against the same set of standards	Aug 30, 2011 10:08 PM
3	Without some form of standards it would be difficult to assess audit performance.	Aug 30, 2011 5:20 PM
4	To ensure consistency across the organization and objectivity.	Aug 30, 2011 2:06 PM
5	To maintain consistency throughout the audits.	Aug 30, 2011 12:32 PM
6	Consistent baseline for developing findings	Aug 30, 2011 8:44 AM
7	consistency across a global company	Aug 29, 2011 11:06 PM
8	I would prefer the term "audit procedures", which are necessary for consistency between audits and assessment of continual improvement.	Aug 29, 2011 6:43 PM
9	The use of audit standards helps to ensure consistency, and to a lesser extent the quality of an audit.	Aug 29, 2011 5:37 PM
10	Without such standards, audit consistency between audits suffers.	Aug 29, 2011 5:25 PM

Page 3, Q13. Is it important for an EHS audit program to conform to an established set of audit standards?

11	You cant write a protocol unless you have a standard to audit by	Aug 29, 2011 4:49 PM
12	So you know what you are checking against.	Aug 29, 2011 4:37 PM
13	In order for the audit program to obtain credibility it must be perceived as fair and consistantly applied.	Aug 29, 2011 4:30 PM
14	To ensure consistency on the process review and auditors qualifications.	Aug 29, 2011 4:17 PM
15	Provides consistency	Aug 29, 2011 4:12 PM
16	Objective and consistent approach is crtical	Aug 29, 2011 3:44 PM
17	I beleive it offers a consistent approach from which you can based your assessment.	Aug 29, 2011 3:43 PM
18	To ensure consistancy in the audit process that is repeatable accross different facilities.	Aug 29, 2011 2:28 PM
19	BEAC mirrors IIA standards. Provides ethical foundation.	Aug 29, 2011 2:25 PM
20	While there are exceptions to every rule, all established audit standards provide a point of reference for comparison and evaluation.	Aug 29, 2011 2:16 PM
21	Standards are necessary to set boundaries, limits and determine the scope of the audit program	Aug 29, 2011 2:13 PM
22	It allows the auditor to fully understand the plant's EHS program.	Aug 29, 2011 2:08 PM
23	Auditing by its nature requires a recognized set of criteria against which to measure compliance and preformance.	Aug 29, 2011 2:07 PM
24	Protocols and standards set the bar for the audit to measure both past and current quality and improvement of the same.	Aug 29, 2011 2:05 PM
25	Must have standards to measure against.	Aug 29, 2011 1:54 PM
26	Audits are becoming a normal part of business life. There are audits for many areas as well as EHS (financial, energy reliability, others) and a consistent set of standards for conducting audits is essential to minimizing the impact of auditing on the operations as well as ensuring a consistent response from the audited party.	Aug 29, 2011 1:48 PM
27	Not one-specific, but general industry accepted methodology combined standards to develop protocols specific to the industry you are auditing.	Aug 29, 2011 1:28 PM
28	Standards provide a benchmark to gage performance	Aug 29, 2011 1:26 PM
29	BEAC standards. These are an internationally recognized set of standards that an audit program could be compared against for quality review. This provides assurance to the auditees that the program is fair.	Aug 29, 2011 1:15 PM
30	Provides an element of assurance regarding the audit program.	Aug 29, 2011 1:11 PM
31	The program should be based upon the standrads so that testing is consistent and measurable.	Aug 29, 2011 1:02 PM

Page 3, Q13. Is it important for an EHS audit program to conform to an established set of audit standards?

32	consistency	Aug 29, 2011 12:49 PM
33	The standards are best when they internally (such as XOM and Shell) driven as opposed to externally driven.	Aug 29, 2011 12:46 PM
34	The regulations	Aug 29, 2011 12:42 PM
35	Assures degree of consistency of audits regardless of auditors	Aug 29, 2011 11:05 AM
36	Provides consistency between team members as well as between audit types. Can review an old audit and be assured that everything was performed correctly.	Aug 29, 2011 10:41 AM
37	To assure consistency over time as personnel change. The assumption is also that Standards are created or revised to reflect changes and trends in the marketplace.	Aug 29, 2011 10:37 AM
38	Need to be compliant with the regulation.	Aug 29, 2011 9:10 AM
39	correlates to OSHA, EPA, NFPA norms	Aug 27, 2011 2:23 PM
40	There is no one size fits all, and some companies have a variety of work places from construction sites (1926) to site facilities (1910).	Aug 27, 2011 4:08 AM
41	To promote consistency and quality	Aug 26, 2011 4:41 PM
42	Company needs to develop and follow a defined process to ensure it is followed and continually evaluated for improvement	Aug 26, 2011 12:30 PM
43	Audit standards gives consistency to audit processes across the board. Regulators know what high standards are held to by the certified audit process.	Aug 26, 2011 9:59 AM
44	This ensures that the various audits (power stations, oil & gas transmission and distribution etc) conducted are all conducted and completed in the same manner providing for adequacy and effectiveness of the system.	Aug 26, 2011 9:49 AM
45	It is important to ensure consistency. However, it by no means guarantees value from the audit.	Aug 26, 2011 6:54 AM
46	This makes it easy to explain non-conformances to the site.	Aug 25, 2011 7:50 PM
47	if there is no standard or standards, then what are they auditing to? The audits would be completely subjective and based only on individual auditor preferences.	Aug 25, 2011 7:19 PM
48	Established audit standards provide a road map to follow throughout the entire process. That road map prevents deviation from a systemic method of conducting the entire process and includes the protocols for that audit.	Aug 25, 2011 3:04 PM
49	To provide consistency.	Aug 25, 2011 10:05 AM
50	If the standards promote a level of quality and thoroughness and so long as they do not discourage flexibility when needed, and limit the success of the audit.	Aug 25, 2011 9:57 AM
51	The audit program must have structure, defined expectations, schedules, topics to be audited, deadlines.	Aug 25, 2011 9:09 AM

Page 3, Q13. Is it important for an EHS audit program to conform to an established set of audit standards?

52	For consistency and standardization purposes. And for accountability/assurance that the audit was performed at a certain level of performance.	Aug 25, 2011 8:20 AM
53	need standards established to evaluate progress	Aug 24, 2011 11:07 PM
54	Yes and no. Yes in that the audit program could be defined within the set of standards ensuring consistency in audit quality and approach through time, regardless of EHS auditor (including management) turn-over.	Aug 24, 2011 8:42 PM
55	Understanding compliance is one thing, understanding the business they are auditing is another, and this is where standards prove invaluable	Aug 24, 2011 7:42 PM
56	To elevate it from personal / company bias.	Aug 24, 2011 7:40 PM
57	If one doesn't have at least a short SOP, then the audits can become ad hoc and sporadic.	Aug 24, 2011 5:01 PM
58	Ensures consistency in the process to be repeatable if needed for verification.	Aug 24, 2011 4:16 PM
59	For quality consistency	Aug 24, 2011 4:10 PM
60	To ensure transparency.	Aug 24, 2011 3:02 PM
61	To ensure consistency of audit review among multiple facilities, i.e., audit results produced by one audit team would likely be reproduced very closely by a second audit team auditing the same facility.	Aug 24, 2011 2:52 PM
62	consistency	Aug 24, 2011 2:07 PM
63	There needs to be an accepted performance standard to assure that risks have been adequately evaluated and addressed. To be effective, there must be several elements that are consistent. Qualified staff, independence, technical competence, corrective action assurance, and management involvement at the top levels...	Aug 24, 2011 1:31 PM
64	The only way you can ensure consistency from audit to audit is to have a set of audit standards.	Aug 24, 2011 1:17 PM
65	Simply for consistency and comparability.	Aug 24, 2011 12:48 PM
66	Ensure consistency from audit to audit	Aug 24, 2011 12:19 PM
67	consistency maintained	Aug 24, 2011 11:45 AM
68	Consistency, standard expectations.	Aug 24, 2011 11:31 AM
69	Consistency, ability to obtain third-party attestation, credibility of audit program/process.	Aug 24, 2011 11:31 AM
70	unless done to meet a specific requirement such as ISO 14001	Aug 24, 2011 11:21 AM
71	The audit must be credible and consistent.	Aug 24, 2011 11:17 AM
72	Good Corporate Governance, fairness, and meaningful outcome from audits.	Aug 24, 2011 10:51 AM
73	The process of auditing, internally or externally driven, is a systematic effort	Aug 24, 2011 10:51 AM

Page 3, Q13. Is it important for an EHS audit program to conform to an established set of audit standards?

which should be reproducible.

74	As auditors, we are evaluating our clients' conformance to standards - whether they are regulations, codes of conduct, or whatever. It stands to reason that we should practice what we preach, and set an example. In addition, if WE adhere to standards, we have more credibility in offering suggestions to our clients. Caveat: the auditing standards should allow for exceptions, provided that auditors identify those exceptions and report those exceptions to affected parties.	Aug 24, 2011 10:50 AM
75	An audit has to have structure and therefore a set of standards or a good protocol enable audits to be conducted fairly and consistently. However, even defined standards need good quality and experienced auditors to interpret them and to assess compliance with the standards.	Aug 24, 2011 10:42 AM
76	Ensures consistency, repeatability, etc.	Aug 24, 2011 10:41 AM
77	Auditing is about consistency how better to have that than establishing standards.	Aug 24, 2011 10:32 AM
78	Pretty self-evident; ensures quality, consistency, and adherence to appropriate standards.	Aug 24, 2011 10:26 AM
79	It is important to conform to standards to ensure consistency and quality of audits. It provides credibility to the auditors if the auditees know that the auditors use a program that is used by other companies to insure quality and objectivity.	Aug 24, 2011 10:24 AM
80	For consistency and meet company/client expectations.	Aug 24, 2011 10:20 AM
81	Audit team leaders, members, locations, audited operations, etc. will vary. Using audit standards helps ensure consistent, reliable results when there are so many variables.	Aug 24, 2011 10:17 AM
82	Consistent objective program.	Aug 24, 2011 10:14 AM
83	helps to ensure consistent and comprehensive activities and results	Aug 24, 2011 10:13 AM
84	With no external standards, it is hard to compare/measure programs and continually improve. Internal pressure from management and operations may distort, weaken or limit the audit program if there are no external guidelines to follow or "live up to".	Aug 24, 2011 10:12 AM
85	Establishes a measurement to determine program effectiveness	Aug 24, 2011 10:08 AM
86	Without established standards, the possibility of consistency from facility to facility drops off significantly. Even if the audit program is a one-person show and that individual goes on every audit, she/he needs something to ensure that nothing is overlooked. And then what happens when the one-person show moves on to another position?	Aug 24, 2011 10:08 AM
87	The established set of audit standards provides a basis for which an audit program can be developed and implemented. Without this established set of audit standards there could be no consistency in each audit performed.	Aug 24, 2011 10:04 AM
88	Conforming to established audit standards will hopefully provide a measure of control and consistency to the audit process.	Aug 24, 2011 9:59 AM

Page 3, Q13. Is it important for an EHS audit program to conform to an established set of audit standards?

89	Standards help guide professionals.	Aug 24, 2011 9:52 AM
90	.	Aug 24, 2011 9:46 AM
91	sets the fundamental baseline. if you have differential standards, there is no uniform baseline and no method for continual improvement	Aug 24, 2011 9:44 AM
92	to prevent hobbyism, to ensure a systematic, consequent and consistent approach.	Aug 24, 2011 9:42 AM
93	Helps to provide consistency during the process.	Aug 24, 2011 9:41 AM
94	Consistency across families of facilities. Benchmarking facilities across families of facilities. Identifying trends across families of facilities. Implementing metrics across families of facilities.	Aug 24, 2011 9:30 AM
95	Sustainability and consistency of the audit programs are the key to its success. Standards define key requirements that support effective program implementation.	Aug 24, 2011 9:29 AM
96	For internal audits both the auditors and the auditees must understand the process in order for it to work effectively and efficiently. Hence, a standard auditing process needs to be in place. This is not to say that the process needs to conform to some international or national standard - it can be a company written standard.	Aug 24, 2011 9:24 AM
97	These govern the program absolutes and clearly set a framework for how audits will be conducted. Independance is key.	Aug 24, 2011 9:20 AM
98	An established set of audit standards helps to make sure you have a valid audit program that will withstand scrutiny and oversight.	Aug 24, 2011 9:19 AM
99	One set of standards would not be reasonable. One size does not fit all companies. Unless it was general or generic.	Aug 24, 2011 9:17 AM
100	It is necessary to have consistent procedures so that all audits are conducted the same at every site. That way you achieve consistent results.	Aug 24, 2011 9:16 AM
101	Helps ensure consistency.	Aug 24, 2011 9:11 AM
102	Audits are done accross the company and management uses the data from the audits to rank various auditable units risk. The process must be consistent to provide management with accurate data.	Aug 24, 2011 9:09 AM
103	To ensure complete and accurate documentation of the audit and that the audit is rigorous, fair, and complete.	Aug 24, 2011 9:08 AM
104	The protocol should have all of the most updated information to score and adhere to thus making the auditing process less cumbersome	Aug 24, 2011 9:08 AM
105	to ensure consistency so you can compare "apples to apples".	Aug 24, 2011 9:03 AM
106	In a word - consistency.	Aug 24, 2011 9:02 AM
107	Sandards are key to establishing solid baselines and evaluating performance levels.	Aug 24, 2011 9:01 AM

Page 3, Q13. Is it important for an EHS audit program to conform to an established set of audit standards?

108	The standard is the line in which to base our audit. If there is no line, then the audit won't be effective.	Aug 24, 2011 9:01 AM
109	Consistency between audits	Aug 24, 2011 8:57 AM
110	Consistency can only be achieved when using set standards	Aug 24, 2011 8:56 AM

Page 3, Q14. Which EHS audit standard is likely to be of greatest value to a U.S.-based multinational company?

Please rank the following, with "1" providing Most value and "5" providing Least value:

1	I am not familiar with any of these	Aug 30, 2011 9:47 AM
2	Not familiar with US audit requirements.	Aug 29, 2011 5:25 PM
3	ISO 14001 for environmental, OSHAS18000 for safety	Aug 29, 2011 1:48 PM
4	Some items are of equal value but I could not give different items the same ranking.	Aug 29, 2011 1:43 PM
5	Think it all depends on country.	Aug 29, 2011 1:28 PM
6	Again, the standards are best when they are internally (such as XOM and Shell) driven as opposed to being externally driven..	Aug 29, 2011 12:46 PM
7	The regulations	Aug 29, 2011 12:42 PM
8	I am not familiar enough with all the standards to answer.	Aug 26, 2011 6:54 AM
9	An internal audit standard could be more valuable than any of the internationally recognized standards if it considered and included applicable principles and aspects of each and excluded irrelevant aspects. This is difficult to do because of the time needed to review and consider each of the standards, the associated costs of such an endeavor and the limited familiarity outside or new auditors would have with the internally developed standard. In addition, I have only seen internal company standards which have excluded important standards and have consequently produced dangerously myopic and insular environments.	Aug 25, 2011 9:57 AM
10	Internal company standards are the most important. All others are just compliance activities.. If the corporate standards aren't there, the activity will not get done. If the corporate standards are not effective, no other standards will have a corporate objective to see that the resources are in place to assure the activity is even conducted...	Aug 24, 2011 1:31 PM
11	Our internal audit standard is the primary tool guiding our program, with only limited and general reference to 3rd party standards.	Aug 24, 2011 10:51 AM
12	My company is not international and doesn't implement MSs	Aug 24, 2011 9:30 AM
13	Use of our company standard far outweighs any of the other standards cited above.	Aug 24, 2011 9:24 AM

Page 3, Q14. Which EHS audit standard is likely to be of greatest value to a U.S.-based multinational company?

Please rank the following, with "1" providing Most value and "5" providing Least value:

14	Following IIA along with BEAC is best. But since it is not up there I rank as follows	Aug 24, 2011 9:20 AM
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Page 3, Q15. How is conformance to an EHS audit standard (either internally or externally established) best evaluated for a corporate-level EHS audit program?

Choose the ONE response you believe best answers this question.

1	We also perform internal QA.	Aug 28, 2011 12:56 PM
2	Formal evaluation processes conducted by internal, external, and peer reviews that report to the board of directors and have a formal corrective action protocol that is explicitly included on the audit committee agenda at least twice a year. Any less frequently will result in a weak program. Detailed reviews must be in place, not a review of finding numbers, but actual detail review of actual issues with supporting documentation. If it is just a numbers exercise with graphs and charts there is no real understanding of the problems. It will be a box checking exercise that will be gamed by management... Real problems need real solutions not a numbers game or color chart exercise... That type of process is truly infantile and an abdication of responsibility.	Aug 24, 2011 1:31 PM
3	Management System annual review (RC14000).	Aug 24, 2011 10:51 AM
4	IIA Professional Practice Framework call for Quality Assurance Review every 3 years. EHS Auditing programs should conform to this as a good practice, and to build professional credibility.	Aug 24, 2011 10:50 AM
5	Peer review of same business	Aug 24, 2011 9:08 AM

Page 4, Q16. What is your current or most recent type of employment?

1	Government EHS auditor	Aug 30, 2011 10:49 AM
2	Auditor for a certifying body	Aug 30, 2011 3:18 AM
3	HSE Specialist & CSP	Aug 29, 2011 3:43 PM
4	Process Safety Manager - conduct regular audits on multiple EH&S subjects	Aug 29, 2011 2:06 PM
5	Insurance company Loss Control	Aug 29, 2011 1:13 PM
6	Company HSE management	Aug 29, 2011 12:25 PM
7	Registrar employee (ISO 14001, etc.)	Aug 26, 2011 2:32 PM
8	Company EHS audit program manager (audit only occasionally)	Aug 25, 2011 10:07 AM

Page 4, Q16. What is your current or most recent type of employment?

9	Corporate EH&S Field Operations Manager	Aug 24, 2011 7:43 PM
10	Global EHS Manager, EHS Audit Program	Aug 24, 2011 10:52 AM
11	EHS Audit manager managing the company audit program and leading EH&S Audits.	Aug 24, 2011 10:13 AM
12	Site EH&S Engineer	Aug 24, 2011 10:00 AM