**STFC Waste Duty of Care Audit Checklist**

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| **1. General Facility Profile** | | | | | | | | | | | | | | | |
| Classification (Please tick if applicable) | Disposal Facility | | | | | Waste Broker | | | | | Transfer Station | | | | |
|  |  | | |  |  |  | | |  |  | |  | |  |
| Date of Facility Visit |  | | | | | | | | | | | | | | |
| Facility Name & Address |  | | | | | | | | | | | | | | |
| Primary Contact (Name & Position) |  | | | | | | | | | | | | | | |
| Telephone Number |  | | | | | | | | | | | | | | |
| Operational Hours |  | | | | | | | | | | | | | | |
| **2. Permit, Licence and insurance Information** | | | | | | | | | | | | | | | |
| Review and/or copy any relevant information |  | | | | | | | | | | | | | | |
| Does the facility use a broker?  List the broker’s registration number: | YES | |  | | | NO | | |  | | | N/A | |  | |
|  | | | | | | | | | | | | | | |
| **3. Disposal Facility Operations** | | | | | | | | | | | | | | | |
| Is there an operation record or disposition log for current inventory? | YES | | |  | | NO | |  | | | N/A | | |  | |
|  | | | | | | | | | | | | | | |
| Is disposition and turnaround time of waste store on site reasonable? | YES | | |  | | NO | |  | | | N/A | | |  | |
|  | | | | | | | | | | | | | | |
| Is there a certificate of disposal issued? | YES | | |  | | NO | |  | | | N/A | | |  | |
|  | | | | | | | | | | | | | | |
| Is the inventory labelled? | YES | | |  | | NO | |  | | | N/A | | |  | |
|  | | | | | | | | | | | | | | |
| Is the waste accepted in drums and the content emptied?  If so, specify how are the containers disposed of: | YES | | |  | | NO | |  | | | N/A | | |  | |
|  | | | | | | | | | | | | | | |
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| Additional Comments: | | | | | | | | | | | | | | | |
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| **4. Waste Management** | | | | | | |
| Please comment on any questions and/or concerns that may have come up from this section on the **Pre-Visit Questionnaire**. | | | | | | |
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| **Keeping Waste Safely** | | | | | | |
| All waste from STFC kept safe against: | | | | | | |
| Corrosion or wear of waste containers | YES |  | NO |  | N/A |  |
|  | | | | | |
| Accidental spilling or leaking or inadvertent leaching from waste unprotected from rainfall | YES |  | NO |  | N/A |  |
|  | | | | | |
| Accident or weather breaking contained waste open and allowing it to escape | YES |  | NO |  | N/A |  |
|  | | | | | |
| Waste blowing away or falling while stored or transported | YES |  | NO |  | N/A |  |
|  | | | | | |
| Scavenging of waste by vandals, thieves, children trespassers or animals | YES |  | NO |  | N/A |  |
|  | | | | | |
| **Segregation and Containment** | | | | | | |
| All waste from STFC is suitably segregated and contained: | | | | | | |
| To prevent the mixing of incompatible wastes. (For example, avoiding reactions in mixtures.) | YES |  | NO |  | N/A |  |
|  | | | | | |
| All employees and anyone else handling waste are aware of the locations and uses of each segregated waste container. | YES |  | NO |  | N/A |  |
|  | | | | | |
| Waste containers suitable for the material stored in them. | YES |  | NO |  | N/A |  |
|  | | | | | |
| Waste containers suitably labelled to identify contents. | YES |  | NO |  | N/A |  |
|  | | | | | |
| Old labels removed from drums which are reused | YES |  | NO |  | N/A |  |
|  | | | | | |
| Site licensed for type and quantities of waste received from STFC? (Attach copy of certificate to this audit) | YES |  | NO |  | N/A |  |
|  | | | | | |
| Waste carrier registered with the Environment Agency to transport type of waste received from STFC? (Attach copy of certificate) | YES |  | NO |  | N/A |  |
|  | | | | | |
| Additional Comments: | | | | | | |
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| **5. Transport Information** | | | | | | | | | | | |
| All waste transported from STFC is: | | | | | | | | | | | |
| Packed and transported well enough to reach its initial destination without escape. | | YES |  | NO | | |  | | N/A | |  |
|  | | | | | | | | | |
| Packed and transported well enough to reach any future destination without escape. Relevant where, for example, waste is sorted at one facility and then transported to other facilities for disposal. | | YES |  | NO | | |  | | N/A | |  |
|  | | | | | | | | | |
| Only handed on to authorised persons or to persons for authorised transport. Checks should be in place to ensure this; checking of registration/licences, etc. | | YES |  | NO | | |  | | N/A | |  |
|  | | | | | | | | | |
| Does the transporter offer training to its drivers? | | YES |  | | NO | |  | | N/A | |  |
|  | | | | | | | | | |
| Do the trucks have appropriate signage? | | YES |  | | NO | |  | | N/A | |  |
|  | | | | | | | | | |
| What condition are the trucks in? | | GOOD |  | | OK | |  | | POOR | |  |
|  | | | | | | | | | |
| Is there evidence of regular maintenance performed on the trucks? | | YES |  | | NO | |  | | N/A | |  |
|  | | | | | | | | | |
| Are there written contingency plans in place for handling spills or leaks during transportation? | | YES |  | | NO | |  | | N/A | |  |
|  | | | | | | | | | |
| Is the appropriate emergency equipment available during transportation? | | YES |  | | NO | |  | | N/A | |  |
|  | | | | | | | | | |
| If there is a weighbridge at the location, are the calibration certificates available, are they in date? | YES | |  | | | NO | |  | | N/A |  |
|  | | | | | | | | | | |
| Additional Comments: | | | | | | | | | | | |
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| **5a. Dangerous Goods Transport Information (to be completed by DGSA)** | | | | | | | |
| All dangerous goods transported from STFC are: | | | | | | | |
| Packed and labelled according to the ADR Regulations? (container should be marked with an appropriate UN marking with suitable hazard labels, or with the “limited quantities” label and have a total weight of less than 30Kg). | YES |  | NO | |  | N/A |  |
|  | | | | | | |
| Packed & labelled according to ADR when leaving the Facility? | YES |  | NO | |  | N/A |  |
|  | | | | | | |
| Only handed on to authorised persons or to persons for authorised transport. Checks should be in place to ensure this; checking of registration/licences, etc. | YES |  | NO | |  | N/A |  |
|  | | | | | | |
| Do the drivers hold appropriate and valid Vocational Training Certificates? | YES |  | | NO |  | N/A |  |
|  | | | | | | |
| Do the trucks have appropriate placarding? (Orange plates displayed front and rear. For bulk carriers (tankers), correct placards on sides and rear, and hazard identification number plates on sides and rear). | YES |  | | NO |  | N/A |  |
|  | | | | | | |
| What condition are the trucks in? | GOOD |  | | OK |  | POOR |  |
|  | | | | | | |
| Is there evidence of regular maintenance performed on the trucks? | YES |  | | NO |  | N/A |  |
|  | | | | | | |
| Do the vehicles carry Instructions in Writing? (Actions in the event of an emergency). | YES |  | | NO |  | N/A |  |
|  | | | | | | |
| Is the appropriate emergency equipment available during transportation[[1]](#footnote-1)? | YES |  | | NO |  | N/A |  |
|  | | | | | | |
| Additional Comments: | | | | | | | |
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| **6. Compliance, Contamination and Spill History** | | | | | |
| **Compliance** - Please follow up if the facility/broker/transfer station has any violations in the past 5 years? (Answer ‘yes’ on the **Pre-Visit Questionnaire**). In the table below, describe the violation, any penalty assessed and corrective actions taken. | | | | | |
| **Violation** | **Date** | | **Penalty** | **Corrective Actions** | |
|  | |  |  | |  |
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| Additional Comments: | | | | | |
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| **Contamination** – Please comment on any questions and/or concerns that may have come up from this section on the **Pre-Visit Questionnaire**. (Answer ‘yes’ in the **Pre-Visit Questionnaire**, to having contamination or cleanup on the facility) | | | | | | | | | | |
|  | √ | **Contained** | | **Clean up in** | | | **Method of Cleanup, if any** | | | |
| Groundwater |  | YES | NO | YES | NO | |  | | | |
|  |  |  |  | |
| Surface Water |  | YES | NO | YES | NO | |  | | | |
|  |  |  |  | |
| Soil |  | YES | NO | YES | NO | |  | | | |
|  |  |  |  | |
| Are sufficient financial resources available to ensure clean up? | | | | | | YES | |  | NO |  |
|  | | | | |
| Additional Comments | | | | | | | | | | |
|  | | | | | | | | | | |
| **7. Spill Control Plan** | | | | | | | | | | |
| Are employees trained in spill cleanup procedures? | | | | | | YES | |  | NO |  |
|  | | | | |
| Are Containment systems and devices sufficient to control a release or spill? | | | | | | YES | |  | NO |  |
|  | | | | |
| Does the facility/broker/transfer station have adequate and accessible spill control equipment? | | | | | | YES | |  | NO |  |
|  | | | | |

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| **8. Safety History** | | | | | | | | | | | | | | |
| Is there a sufficient system in place to control personnel access? | | | YES | |  | | NO | |  | | N/A | |  | |
|  | | | | | | | | | | | |
| Is personal protective equipment (PPE) readily available? | | | YES | |  | | NO | |  | | N/A | |  | |
|  | | | | | | | | | | | |
| Is the PPE being worn by employees? | | | YES | |  | | NO | |  | | N/A | |  | |
|  | | | | | | | | | | | |
| Does the facility have a safety manual or safety guideline? | | | YES | |  | | NO | |  | | N/A | |  | |
|  | | | | | | | | | | | |
| Have there been any Environment Agency compliance assessments carried out over the last 3 years? What was the outcome/compliance rating of the facility? | | | (Details…) | | | | | | | | | | | |
| Do any of the technical managers | | YES | | |  | | NO | |  | | N/A | |  | |
| (or senior managers) align with the WAMITAB scheme? | | | (Details…) | | | | | | | | | | | |
| Is the company aligned to any standards  such as ISO9000/1 or ISO14001 etc? | | | (Details…) | | | | | | | | | | | |
| **9. Approval** | | | | | | | | | | | | | | |
| Waste Disposal Facility | | | Approved | | | | Rejected | | | | N/A | | | |
|  |  | |  |  |  | |  |  |  | |  |
| STFC staff member who performed audit | | | | | | | | | | | | | | |
| NAME |  | | | | | | | | | | | | | |
| TITLE |  | | | | | | | | | | | | | |
| SIGNATURE |  | | | | | | | | | | | | | |
| DATE |  | | | | | | | | | | | | | |

Report to be retained for the duration of the contract to employ the waste disposal contractor.

1. Equipment should include:

   fire extinguishers (min 2Kg), if vehicle over 7.5 tonnes, total 12Kg capacity with one at least 6 kg, if vehicle over 3.5 tonnes, total 8 Kg capacity with one at least 6 Kg.

   A wheel chock, 2 self-standing warning signs, eye rinsing liquid: and for each crew member, a hi-vis vest, portable lighting, protective gloves, eye protection

   For some classes of waste, vehicles must carry an emergency escape mask for each crew member, a shovel, a drain seal and a collecting container. [↑](#footnote-ref-1)