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Question: 1

Section 3 of the General Principles Guideline (14010) requires that “the audit should only be undertaken if, after consultation with the client, it is the lead auditor’s opinion that:”

- A. There are adequate resources to support the audit process
- B. There is adequate time to support the audit process
- C. There are at least 10 members of audit team to support the audit process
- D. None of these

Answer: A

Question: 2

Audit programs are typically designed to meet one or more of the following objectives Except:

- A. Assuring compliance with regulations
- B. Determining liabilities
- C. Tracking and removing of compliance costs
- D. Increasing environmental awareness

Answer: C

Question: 3

An audit program is first and foremost a verification program. It is not meant to replace existing environmental management systems at the corporate (e.g., regulatory updating), division (e.g., capital planning for pollution control expenditures) or plant (e.g., NPDES discharge monitoring) levels. Indeed, the program should be designed to verify that these environmental management systems do, in fact, exist and are in use. However, these benefits of audit can be offset by some real and potential costs including:

- A. Temporary disruption of plant operations
- B. Increased liability where one is unable to respond to audit recommendations involving significant capital expenditures
- C. The commitment of committees to run the program
- D. Decreased ammunition for regulators

Answer: A, B

Question: 4

An auditing program is also one of many tools needed to develop and maintain an effective environmental management program. But identification of the deficiencies in compliance and management is only the first step. An organization must be willing to correct violations and other deficiencies and root causes in order to achieve improved results. If an organization is unwilling to act upon the discovered deficiencies, the audits may become:

- A. A source of damaging evidence of assets
- B. A source of damaging evidence of liability
- C. A secure insurance at reasonable cost
- D. All of these

Answer: B

Question: 5

An audit program is first and foremost a verification program. It is not meant to replace existing environmental management systems at the corporate (e.g., regulatory updating), division (e.g., capital planning for pollution control expenditures) or plant (e.g., NPDES discharge monitoring) levels. Indeed, the program should be designed to verify that these environmental management systems do, in fact, exist and are in use. On the positive side, audits can result in a number of significant benefits, including:

- A. Improved information collection
- B. Better public image with the community and regulators
- C. More fines and suits
- D. Improved information transfer

Answer: B, D

Question: 6

Environmental auditing has been developed for sound business reasons, particularly as a means:

- A. To help manage resources control affirmatively over time instead of reacting to crises
- B. To help manage population control affirmatively over time instead of reacting to crises
- C. To help manage pollution control affirmatively over time instead of reacting to crises
- D. To help manage fuel shortage control affirmatively over time instead of reacting to crises

Answer: C

Question: 7

An effective environmental auditing system will likely include all of the following general elements Except:

- A. Implicit top management support for environmental auditing and commitment to followup on audit findings
- B. Adequate team staffing and auditor training
- C. A process that collects, analyzes, interprets and documents information sufficient to achieve audit objectives
- D. An environmental auditing function independent of audited activities.

Answer: A

Question: 8

A CMS under the policy is defined as an “entity’s documented systematic efforts, appropriate to the size and nature of its business, to prevent, detect and correct violations” through the following CMS criteria:

- A. Documentation of policies, standards, and procedures that identify how employees and agents are to meet regulatory requirements
- B. Assignment of responsibility to oversee conformance with these policies, standards, and procedures
- C. Training to communicate the previous year policies
- D. Employee incentives to perform in accordance with the compliance policies, standards, and procedures

Answer: B, D