

Shanks Off-taker Audit Report	
Facility Audited:	
Audited by:	
Date of audit:	
Photograph References: (if applicable)	

Executive Summary
Observations <i>Summarise overall impression of the facility - for example was the site well managed, clean, modern – were personnel helpful/knowledgeable/technically competent</i>
Non-compliances: <i>Summarise areas identified as unacceptable in the report</i>
Recommendations for approval: <i>Detail what needs to be rectified to gain approval or if suitable state that the facility is recommended for approval</i>

Approval			
Approved for Use	Y/N	Date:	
Approver's name:	Authorised person in Shanks; e.g. Tom Hall	Approver's Signature	
Other Comments			

1. Details of Waste Supplied by Shanks			
Waste	Grade (if applicable)	Hazardous	Non-haz
	Details of Shanks waste types taken to the facility		
Household waste	N/A		X
Paper	News / Pams		X
Metal	Non Ferrous		X
Oil	Mineral / synthetic	X	

2. Facility Information		
Location Address		
Facility Manager Name:		
Contact name:		
Contact telephone number:		
	Acceptable	Comments
2.1 Managerial staff qualifications		Relevant COTC for activity – name and type of COTC held
2.2 Technical staff qualifications (where applicable)		COTC qualified chemist - name and type of COTC held
2.3 External Accreditations held		ISO 14001 (environmental), 9001 (quality), 18001 (safety) – take copies of certificates check they are in date and cover location being audited
2.4 Public liability insurance cover and limit		Copy of details of cover
2.5 Environmental pollution/liability insurance cover and limit		Copy of details of cover
Other Comments		

3. Licence/Authorisation/Permit/Exemption

Licence /Authorisation /Permit /Exemption issued by	Environment Agency, Penrith	
	Acceptable	Comments
3.1 Waste Management Licence /Authorisation /Permit; Number /Title /Type		Record details
3.2 Variations / modifications		Note any mods or variations that may impact on the waste being taken from Shanks
3.3 Operations allowed within Licence / Authorisation / Permit		Disposal, recycling treatment etc
3.4 Waste sent by Shanks included in licence /permit /exemption etc.		Confirm waste sent by Shanks is acceptable under terms of licence /permit /exemption etc.

Other Comments

4. Regulatory Compliance

Site Environmental Regulators	Environment Agency, Environmental Health etc	
	Acceptable	Comments
4.1 Recent issues / non-conformances		Check recent inspections and document issues raised
4.2 Action taken on any non-compliance		Detail corrective / preventive action taken
4.3 Prosecution and/or fines, enforcement notices etc. issued in the previous three years?		Detail any legal actions taken against the facility

Other Comments

5. Reception and Handling		
	Acceptable	Comments
5.1 Written agreements		Confirm any written agreements in place between Shanks and facility re acceptance of waste
5.2 Haulier delivering waste from Shanks facility.		Hauliers name
5.3 Hauliers waste carriers licence details		Copy of Carriers Licence available – confirm expiry date
5.4 Authorised vehicles		Confirm how site determines that vehicle is authorised to tip on Shanks' account (auth. vehicles list should be available)
5.5 Waste acceptance procedure		Confirm if site has waste acceptance procedure - review and note any relevant issues
5.6 Checks on incoming wastes		Confirm checks carried out on loads arriving at facility
5.7 Non-conformance procedure		Confirm procedure for non-conforming loads arriving at site. How reported to CWM and to Shanks. Additional costs?
5.8 Recording deliveries		Confirm how receipt of load is recorded; e.g. weighbridge system, manual record
5.9 Mixed loads		Confirm how weight of material is obtained if mixed with other producers waste; e.g. oil, textiles
5.10 Automatic weight retrieval		Confirm all transactions entered automatically – should be a tally roll number for each weight transaction (in and out)
5.11 Stored tare weights		Confirm stored tare weights not being used – if they are how the tare weight has been determined.
5.12 Manual transactions		What is the process for recording transactions manually if systems go down
5.13 Weighbridge failure		What is the agreed method of obtaining weights for loads in the event of weighbridge failure. Shanks would expect to be notified of weighbridge failure
5.14 Weighbridge calibration / service		Review weighbridge calibration certificate / service records – confirm for w/b in use, calibration in date and confirm resolution e.g. +/- 20kg
5.15 Weighbridge accuracy		Confirm weighbridge indicator returns to zero after each transaction (or within tolerance)
5.16 Weighbridge condition		Visual confirm of weighbridge condition - clean underneath, state of repair etc
5.17 Weighbridge documentation		Confirm weighbridge records generated for each transaction
5.18 Trading Standards visits		Confirm if site has received any visits from trading standards. Any issues raised? Bumped?
5.19 Site closure contingencies		Confirm contingency arrangements if due to site closure; e.g. weighing arrangements at other sites etc.
5.20 Confirm fallback offtaker		Name of fallback offtaker/s? Does the fallback offtaker need to be added to the audit schedule?
5.21 Onward treatment / disposal		Does the waste go to another site for processing / disposal? Have the offtaker audited this processing / disposal facility? Records of audits available? Any issues raised? Resolved?

6. Documentation Trail

Obtain details of loads received over the last "X" months (dependent on number of transactions as to how many months' information is used).

Take at least 3 samples of each waste type, unless infrequent collections e.g. oil etc

Confirm all transactions on the report are recorded in the sites weighbridge system / manual system

Confirm all transactions have been entered automatically from weighbridge onto electronic systems

View any relevant transactions taking place whilst in the office and record details as required

Acceptable?	Yes / No
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7. H&S Issues

Comments

Record any relevant H&S issues noted onsite (positive or negative)

Report any significant issues to H&S advisor for follow up / advice

Acceptable?	Yes / No	Follow up required?	Yes / No
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8. Environmental Issues

Comments

Record any environmental issues noted onsite (positive or negative)

Report any significant issues to Environmental Advisor for follow up / advice

Acceptable?	Yes / No	Follow up required?	Yes / No
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9. Audit History	
Date last Shanks' Audit	
Key concerns from previous audit and current status	

10. Supporting Records/Documents		
	Requested	Obtained
Confirmation of public liability insurance cover		
Confirmation of environmental liability insurance cover		
COTC holder certificates		
Accreditation certificates - specify		
Weighbridge calibration certificate		
Weighbridge maintenance contract / copy of most recent report		
Others – please specify		

SHANKS PRE-AUDIT QUESTIONNAIRE

SECTION 1 : GENERAL INFORMATION (to be completed in full)

Company Name:

Company Address:

Tel number:

Fax number:

Please state your company's main business and describe work to be carried out for Shanks:

SECTION 2: Facility Information

Location Address:

Facility Manager Name:

Contact name:

Contact telephone number:

Managerial staff qualifications:

Technical staff qualifications (where applicable):

External Accreditations held:

Public liability insurance cover and limit:

Environmental pollution/liability insurance cover and limit:

SECTION 3: Licence/Authorisation/Permit/Exemption

Licence /Authorisation /Permit
/Exemption issued by:

Waste Management Licence /Authorisation /Permit: Number /Title /Type:	
Variations / modifications:	
Operations allowed within Licence / Authorisation / Permit:	
Waste sent by Shanks included in licence /permit /exemption etc:	
Date of the last Environment Agency inspection (please attach a copy of EA report):	
Date of the last Trading standards inspection (please attach a copy of the TS report):	
SECTION 4: Regulatory Compliance	
Recent issues / non-conformances:	
Action taken on any non-compliance:	
Prosecution and/or fines, enforcement notices etc. issued in the previous three years?	
SECTION 5: Reception and Handling	
Do you hold a valid Waste Carriers Certificate?	
Do you hold a valid licence for the waste Shanks will be sending to you?	
Do you have a Waste acceptance procedure?	
Do you have a Non-conformance procedure?	
Please describe recycling/reuse process of the waste material:	
Final destination of waste material:	

Completed by: **Name:** **Signature:**

Position: **Date:**

Thank you for taking time to complete this Pre-audit questionnaire, please return it to.

Shanks Waste Management Ltd,
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shankscumbria@shanks.co.uk or Fax: 01768892620