

Waste duty of care audit checklist

Not whether anything has expired — whether what you do matches what the paperwork says.

Sample descriptions against what is actually in the containers. A description written three years ago for an office block that now has a workshop in it is the commonest failure in the trade, and it is invisible in the filing.

BUSINESS / DEPOT	AUDITED BY	DATE
PERIOD COVERED	PREVIOUS AUDIT	REFERENCE

YOUR OWN AUTHORISATIONS

	SEEN	GAP
Carrier, broker or dealer registration current	☐	☐
Registration tier correct for what you actually do	☐	☐
Environmental permits held for any site you operate	☐	☐
Registered exemptions current and within their scope	☐	☐
Operator licence in order, where held	☐	☐
Insurance in force	☐	☐
	☐	☐
	☐	☐

DOCUMENTATION

	SEEN	GAP
Transfer notes present for every movement sampled	☐	☐
Notes complete — all sections, both signatures	☐	☐
Waste hierarchy declaration completed	☐	☐
Consignment notes complete, with returns made	☐	☐
Notes filed where they can actually be produced	☐	☐
Retention dates applied, and nothing destroyed early	☐	☐
	☐	☐
	☐	☐

DESCRIPTIONS SAMPLED AGAINST REALITY

This is the part that cannot be done from a desk.

Customer — description on file — what was in the container — match?	
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OTHERS IN YOUR CHAIN

The duty follows the waste. An audit of your own notes has audited one link.

	CHECKED	GAP
Every carrier used is registered, and checked this period	☐	☐

	CHECKED	GAP
Subcontractors identified and their registrations checked	☐	☐
Brokers and dealers used are registered	☐	☐
Receiving sites hold permits covering what you send	☐	☐
Permit scope checked, not just permit existence	☐	☐
Register checks evidenced with a date	☐	☐
	☐	☐
	☐	☐

PEOPLE AND PROCEDURE

	SEEN	GAP
Crews trained on classification and contamination	☐	☐
Drivers know what to do with a rejected load	☐	☐
Incident reporting procedure in use, with records	☐	☐
Customer onboarding includes description and classification	☐	☐
Someone is accountable for compliance by name	☐	☐
	☐	☐
	☐	☐

FINDINGS – COUNTED

OPEN	OF WHICH OVERDUE	OLDEST OPEN (DATE RAISED)
OPEN AT LAST AUDIT	CLOSED SINCE	RAISED THIS AUDIT

FINDINGS

Each with an owner and a target date.

SIGN-OFF

AUDITED BY

DATE

REVIEWED BY

DATE