

ISO 14001-2004 Audit Checklist

| Ref | Question | Yes /No | Objective evidence |
|--------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------|--------------------|
| 4 | Environmental management system requirements | | |
| 4.1 | General requirements | | |
| | Has the organization established and documented an environmental management system that it has implemented and continues to maintain? Does it comply with the requirements of the standard and has the organization determined how it will fulfill these requirements? | | |
| | Has the organization defined and documented the scope of its EMS? | | |
| 4.2 | Environmental policy | | |
| | Has top management developed an environmental policy that is within the defined scope of the EMS? | | |
| a) | Is it appropriate based on the nature, scale and environmental impacts of the organization's activities, products and services? | | |
| b) | Does it include a commitment to continual improvement and the prevention of pollution? | | |
| c) | Does it include a commitment to comply with the legal requirements associated with its environmental aspects and to other requirements to which it subscribes? | | |
| d) | Does it set the stage for developing environmental objectives and targets? | | |
| e) | Is it documented? Has it been implemented? Is it maintained? | | |
| f) | Has it been communicated to everyone working on the organization's behalf? | | |
| g) | Is it available to the public? | | |
| 4.3 | Planning | | |
| 4.3.1 | Environmental aspects | | |
| | Has the organization established, implemented and does it maintain a procedure... | | |
| a) | To identify the environmental aspects of its activities, products and services that are within the scope of its EMS that it can control and influence? | | |

| | | | |
|-------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|
| | Does the procedure take into account planned or new developments, or new or modified activities, products and services? | | |
| b) | To determine which of those aspects have or can have a significant impact on the environment? | | |
| | Has the organization documented this information and do they keep it up to date? | | |
| | Has the organization considered these significant environmental aspects while implementing and maintaining its EMS? | | |
| 4.3.2 | Legal and other requirements | | |
| | Has the organization established, implemented and does it maintain a procedure... | | |
| a) | To identify and have access to the legal and other requirements with which it must comply regarding its environmental aspects? | | |
| b) | To determine how these requirements apply to its environmental aspects? | | |
| | Has the organization considered these requirements while implementing and maintaining its EMS? | | |
| 4.3.3 | Objectives, targets and programs | | |
| | Has the organization established, implemented and does it maintain documented environmental objectives and targets at relevant functions and levels within the organization? | | |
| | Are the objective and targets measurable, where practical and are they consistent with the policy? Are there objectives for preventing pollution and continual improvement? Are there any that relate to legal and other requirements? | | |
| | Has the organization considered its significant environmental aspects and its technological options, its financial, operational and business requirements and the views of interested parties? | | |
| | Has the organization established, implemented and does it maintain programs for achieving its objectives and targets? | | |
| a) | Do the plans include the person or | | |

| | | | |
|------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|
| | function that is responsible for achieving the objectives and targets at all relevant functions and levels within the organization? | | |
| b) | Do the plans include a due date for achieving the targets and a plan for getting there? | | |
| 4.4 | Implementation and operation | | |
| 4.4.1 | Resources, roles, responsibility and authority | | |
| | Has management ensured the availability of resources needed to establish, implement, maintain and improve the EMS? Do these resources include human resources, specialized skills, organizational infrastructure, technology and financial resources? | | |
| | Have roles, responsibilities and authorities been defined, documented and communicated? | | |
| | Has top management appointed a management representative who has the role, responsibility and authority for... | | |
| a) | Ensuring that an EMS is established, implemented and maintained in accordance with the requirements of the standard. | | |
| b) | Reports to top management on the performance of the EMS and makes recommendations for improvement? | | |
| 4.4.2 | Competence, training and awareness | | |
| | How does the organization ensure that anyone performing tasks for it or on its behalf that have the potential to cause a significant environmental impacts identified by the organization is competent on the basis of appropriate education, training or experience? Has the organization retained records as objective evidence? | | |
| | Has the organization identified the training needs associated with its environmental aspects and the EMS? Has the organization provided the necessary training? | | |

| | | | |
|-------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|
| | Have they maintained the records as objective evidence? | | |
| | Has the organization established, implemented and does it maintain a procedure to ensure that people working for the organization or on its behalf are aware of.... | | |
| a) | The importance of conforming with the environmental policy and procedures and to the requirements of the EMS? | | |
| b) | The significant environmental aspects and impacts associated with their jobs and the environmental benefits of improved personal performance? | | |
| c) | Their roles and responsibilities in achieving conformity with the requirements of the EMS and | | |
| d) | The potential consequences of not following the specified procedures? | | |
| 4.4.3 | Communication | | |
| | Has the organization, regarding its environmental aspects and EMS, established, implemented and does it maintain a procedure for.... | | |
| a) | Internal communication throughout the various functions and levels of the organization? | | |
| b) | Receiving, documenting and responding to relevant communication from external interested parties? | | |
| | Has the organization decided whether or not to communicate externally about its significant environmental aspects? Have they documented their decision? If they have decided to communicate externally have they established and implemented a method for this external communication? | | |
| 4.4.4 | Documentation | | |
| | Does the environmental management system include... | | |
| a) | The environmental policy, objectives and targets? | | |
| b) | A description of the scope of the EMS? | | |
| c) | A description of the main elements of | | |

| | | | |
|-------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|
| | the EMS and their interaction, and reference to related documents? | | |
| d) | Documents and records required by the standard and | | |
| e) | Documents and records that the organization has determined are necessary to effectively operate and control processes that relate to its significant environmental aspects? | | |
| 4.4.5 | Control of documents | | |
| | Is the organization controlling those documents that are required by the standard or those that the organization has deemed necessary? | | |
| | Has the organization established, implemented and does it maintain a procedure to... | | |
| a) | Approved documents for adequacy prior to use? | | |
| b) | Review and update as necessary and re-approve documents? | | |
| c) | Ensure that changes and the current revision status of documents are identified? | | |
| d) | Ensure that relevant versions of applicable documents are available at points of use? | | |
| e) | Ensure that documents remain legible and readily identifiable? | | |
| f) | Ensure that documents of external origin determined by the organization to be necessary for the planning and operation of the EMS are identified and their distribution controlled? | | |
| g) | Prevent the unintended use of obsolete documents and apply suitable identification to them if they are retained for any purpose? | | |
| 4.4.6 | Operational control | | |
| | Has the organization identified the operations that are associated with their significant environmental aspects and ensured that they are carried out under specified conditions? | | |
| | Do specified conditions include... | | |
| a) | Establishing, implementing and maintaining document procedures to control situations where their absence could lead to deviation from the environmental policy, objectives and targets? | | |

| | | | |
|------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|
| b) | Stipulating the operating criteria in the procedures? | | |
| c) | Establishing, implementing and maintaining procedures related to the environmental aspects of goods and services used by the organization and communicating applicable procedures and requirements to suppliers including contractors? | | |
| 4.4.7 | Emergency preparedness and response | | |
| | Has the organization established and implemented and does it maintain a procedure to identify potential emergency situations and potential accidents that can have an impact on the environment and how it will respond to them? | | |
| | Does the organization respond to actual emergency situations and accidents and prevent or mitigate associated adverse environmental impacts? | | |
| | Does the organization periodically review its emergency preparedness and response procedures and revise them as necessary? Do they ensure they do this after the occurrence of accidents or emergency situations? | | |
| | Does the organization periodically test these procedures if they can? | | |
| 4.5 | Checking | | |
| 4.5.1 | Monitoring and measurement | | |
| | Has the organization established and implemented and does it maintain a procedure for regularly monitoring the key characteristics of its operations that can have a significant environmental impact? Does the procedure include documenting information to monitor performance, applicable operational controls and conformity with the organization's environmental objectives and targets? Does the organization use calibrated or verified monitoring and measurement equipment and does it | | |

| | | | |
|---------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|
| | retain the associated records? | | |
| 4.5.2 | Evaluation of compliance | | |
| 4.5.2.1 | <p>Has the organization established, implemented and does it maintain a procedure for periodically evaluating compliance with applicable legal requirements?</p> <p>Does the organization keep records of the results of these evaluations?</p> | | |
| 4.5.2.2 | <p>Has the organization established, implemented and does it maintain a procedure for periodically evaluating compliance with other requirements to which it subscribes?</p> <p>Does the organization keep records of the results of these evaluations?</p> | | |
| 4.5.3 | Nonconformity, corrective action and preventive action | | |
| | <p>Has the organization established, implemented and does it maintain a procedure for dealing with actual and potential nonconformities and for taking corrective action and preventive action?</p> <p>Does the procedure define requirements for...</p> | | |
| a) | Identifying and correcting nonconformities and taking action to mitigate their environmental impacts? | | |
| b) | Investigating nonconformities, determining their cause and taking action in order to prevent their recurrence? | | |
| c) | Evaluating the need for action to prevent nonconformities and implementing appropriate actions designed to avoid their occurrence? | | |
| d) | Recording the results of corrective and preventive actions taken? | | |
| e) | Reviewing the effectiveness of corrective and preventive actions taken. | | |
| | Are actions taken appropriate to the magnitude of the problem and the environmental impacts encountered? | | |
| | Does the organization ensure that any necessary changes are made to the EMS documentation? | | |

| | | | |
|------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|
| 4.5.4 | Control of records | | |
| | Has the organization established and does it maintain records to demonstrate conformity to the requirements of its EMS and of the standard and the results achieved? | | |
| | Has the organization established, implemented and does it maintain a procedure for the identification, storage, protection, retrieval, retention and disposal of records? | | |
| | Are records legible, identifiable and traceable? | | |
| 4.5.5 | Internal Audit | | |
| | Does the organization ensure that internal audits of the EMS are conducted at planned intervals to... | | |
| a) | Determine whether the EMS conforms to the planned arrangements, including the requirements of the standard and has been properly implemented and is maintained? | | |
| b) | Provide information on the results of audits to management? | | |
| | Is the audit program planned, established, implemented and maintained by the organization taking into consideration the environmental importance of the operations concerned and the results of previous audits? | | |
| | Have audit procedures been established, implemented and maintained that address the responsibilities and requirements for planning and conducting audits, reporting results and retaining associated records and the determination of audit criteria, scope, frequency and methods? | | |
| | Does the conduct of audits and the selection of auditors ensure objectivity and impartiality of the audit process? | | |
| 4.6 | Management review | | |
| | Does top management review the EMS at planned intervals to ensure its continuing suitability, adequacy and effectiveness? | | |
| | Do the reviews include assessing opportunities for improvement and the need for changes to the environmental | | |

| | | | |
|----|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|
| | management system, including the environmental policy and objectives and targets? | | |
| | Have records of the reviews been retained? | | |
| | Does input to management review include... | | |
| a) | Results of internal audits and evaluation of compliance with legal requirements and with other requirements to which the organization subscribes? | | |
| b) | Communications from external interested parties, including complaints? | | |
| c) | The environmental performance of the organization? | | |
| d) | The extent to which objectives and targets have been met? | | |
| e) | Status of corrective and preventive actions? | | |
| f) | Follow-up actions from previous management reviews? | | |
| g) | Changing circumstances, including developments in legal and other requirements related to the environmental aspects? | | |
| h) | Recommendations for improvement? | | |
| | Does the output from management review include any decisions and actions related to possible changes to environmental policy, objectives, targets and other elements of the EMS consistent with the commitment to continual improvement? | | |