

AUDITING CHECKLIST

4.1 GENERAL REQUIREMENTS

There are no specific questions on the requirement to “establish and maintain” an EMS. Instead, that requirement has been incorporated into each set of supplemental questions. If each set of questions is asked, the auditor will be able to make a fair determination whether or not the organization has indeed established and maintained its EMS.

4.2 ENVIRONMENTAL POLICY

Auditor Name and Date: _____

Organization and Department Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

4.2 Top management shall define the organization’s environmental policy and ensure that, within the defined scope of its environmental management system, it...

	Conforms (Y/N)
a) is appropriate to the nature, scale, and environmental impacts of its activities, products or services;	
b) includes a commitment to continual improvement and prevention of pollution;	
c) includes a commitment to comply with applicable legal requirements and with other requirements to which the organization subscribes which relate to its environmental impacts;	
d) provides the framework for setting and reviewing environmental objectives and targets;	
e) is documented, implemented and maintained	
f) is communicated to all persons working for or on behalf of the organization, and	
g) is available to the public.	

NOTES:

OVERALL CONFORMANCE: YES NO

4.2 Environmental Policy: Supplemental Questions by Function

	<i>DEPUTY DIRECTOR</i>	OBJECTIVE EVIDENCE
a.	What was your role in the development of the environmental policy?	
b.	Could you describe your role in the review and revision of the policy?	
c.	Is the policy made available to the public? How?	
d.	How is it communicated to the employees?	
e.	How does management ensure continued adherence throughout the Division?	

	<i>EMS REPRESENTATIVE</i>	OBJECTIVE EVIDENCE
a.	What was your role in the development of the environmental policy?	
b.	What scenario would require the policy be revised?	
c.	Are employees made aware of the policy? How?	
d.	Is the policy made available to the public? How?	
e.	How is the policy controlled to ensure that only the most current version is available?	

	<i>SENIOR STAFF</i>	OBJECTIVE EVIDENCE
a.	What is the environmental policy of the Division? Where can it be found?	
b.	How has the policy been conveyed to your staff?	
c.	How has the implementation of an EMS affected your operation?	
d.	What does CPR stand for?	

4.2 Environmental Policy: Supplemental Questions by Function (cont.)		
<i>DIVISION PERSONNEL</i>		OBJECTIVE EVIDENCE
a.	Does the Division have an environmental policy?	
b.	Where can it be found?	
c.	How was the policy communicated to you?	
d.	How will the EMS change the way you do your job?	
e.	What does CPR stand for?	

NOTES:

DOCUMENTS:

- ☐ Environmental Policy
- ☐ Evidence of management support of the policy (e.g., press release, internal memo, signature on the policy, distribution of the policy).
- ☐ Internal newsletters, memos, etc., that re-enforce the EMS expectations outlined in the policy.

EMS LINKS:

- Environmental Aspects
- Legal and other requirements
- Objectives, Targets and Programs
- Competence, Training and Awareness
- Communications
- Operational Controls
- Monitoring and Measurement
- Management Review

4.3 PLANNING

4.3.1 ENVIRONMENTAL ASPECTS

Auditor Name and Date: _____

Organization and Department Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

4.3.1 The organization shall establish, implement and maintain a procedure(s)

Conforms (Y/N)

a) to identify the environmental aspects of its activities, products and services within the defined scope of the environmental management system that it can control and those that it can influence taking into account planned or new developments, or new or modified activities, products and services, and	
b) to determine those aspects that have or can have significant impact(s) on the environment (i.e. significant environmental aspects) The organization shall document this information and keep it up to date.	
The organization shall ensure that the significant environmental aspects are taken into account in establishing, implementing and maintaining its environmental management system.	

NOTES:

OVERALL CONFORMANCE: YES NO

4.3.1 Environmental Aspects: Supplemental Questions by Function		
<i>DEPUTY DIRECTOR</i>		OBJECTIVE EVIDENCE
a.	What role did you play in the Division's identification of environmental aspects and significant impacts?	
b.	What is your involvement in the review and revision process for aspects and impacts?	
c.	In your opinion, what are the most significant aspects resulting from your Division's operations?	
d.	How are they monitored?	

<i>EMS REPRESENTATIVE</i>		OBJECTIVE EVIDENCE
a.	Who was involved in the identification of the environmental aspects?	
b.	How is the list of aspects kept current?	
c.	Describe the review and revision process.	
d.	What criteria are used to determine what constitutes a "significant" aspect/impact?	
e.	Was outside input sought in the process of aspect determination?	

<i>SENIOR STAFF</i>		OBJECTIVE EVIDENCE
a.	In your opinion, what are the most significant environmental aspects related to you section?	
b.	How are these aspects monitored and documented?	
c.	Do you have a current list of the environmental aspects/impacts?	
d.	How are significant aspects considered in the process of setting environmental objectives?	

4.3.1 Environmental Aspects: Supplemental Questions by Function (cont.)		
<i>DIVISION PERSONNEL</i>		OBJECTIVE EVIDENCE
a.	Did you play a role in identifying significant environmental aspects of your job?	
b.	What do you think the most significant environmental consequence of your job is?	
c.	What, if any, are the goals (objectives/targets) for environmental improvement within the scope of your job?	
d.	What could you personally do to help offset any adverse environmental impacts from your job?	
e.	Do you feel that you have ever been encouraged to report environmental concerns? (C/PARs)	

NOTES:

DOCUMENTS:

- ☐ Procedure(s) to identify aspects, as well as significant aspects and impacts: Look for evidence that this procedure was followed (e.g., worksheets, checklist, committee notes).
- ☐ List of aspects, impacts, and significant aspects.
- ☐ Criteria for determining significant impacts.

EMS LINKS:

- Objectives, Targets and Programs
- Competence, Training and Awareness
- Communications
- Operational Control
- Monitoring and Measurement
- Management Review

4.3 PLANNING

4.3.2 Legal and Other Requirements

Auditor Name and Date: _____

Organization and Department Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

4.3.2 The organization shall establish, implement and maintain a procedure(s)

Conforms (Y/N)

a) to identify and have access to the applicable legal and other requirements to which the organization subscribes, related to its environmental aspects and,	
b) to determine how these requirements apply to its environmental aspects.	
The organization shall ensure that these applicable legal requirements and other requirements to which the organization subscribes are taken into account in establishing, implementing and maintaining its environmental management system.	

NOTES:

OVERALL CONFORMANCE: YES NO

4.3.2 Legal and Other Requirements: Supplemental Questions by Function		
<i>DEPUTY DIRECTOR</i>		OBJECTIVE EVIDENCE
a.	How does the Division keep track of changes to legal and other requirements?	
b.	Describe how legal and other requirements are communicated to Division personnel.	
c.	How does the Division ensure that all environmental reports and permits required by federal, state, or local regulations have been identified?	
d.	How do legal and other requirements apply to the Division's environmental management system?	

<i>EMS REPRESENTATIVE</i>		OBJECTIVE EVIDENCE
a.	What is the review process for monitoring changes to legal and other requirements?	
b.	Does any one person bear the responsibility of reviewing legal requirements as they relate to the EMS?	
c.	Describe how changes to legal and other requirements are communicated to division personnel.	
d.	Does the Division subscribe to any publications that track pertinent changes to federal/state/local regulations?	

<i>SENIOR STAFF</i>		OBJECTIVE EVIDENCE
a.	Do you have access to the legal requirements and pertinent legislation associated with your section? If so, where can they be found?	
b.	How are you made aware of any changes to pertinent laws and regulations?	
c.	How do you communicate these changes to your staff?	
d.	How are new requirements incorporated into existing procedures and processes?	

4.3.2 Legal and Other Requirements: Supplemental Questions by Function (cont.)		
<i>DIVISION PERSONNEL</i>		OBJECTIVE EVIDENCE
a.	If there were changes to environmental laws or regulations relating to your job, how would you be told of them?	
b.	Has this ever happened?	

NOTES:

DOCUMENTS:

- ☐ Legal and other requirements procedure.
- ☐ Communication to others in the organization on legal requirements.
- ☐ List of legal requirements (federal, state, local) to which the organization must comply.
- ☐ Listing of other requirements that the organization has decided to follow (e.g., industry codes of practice, certification programs, internal codes of practice).
- ☐ Procedures that incorporate legal and other requirements into daily activities or operations. Ask for a recent example of a new requirement being incorporated into procedures/operations.

EMS LINKS:

- Environmental Aspects
- Objectives, Targets and Programs
- Competence, Training and Awareness
- Operational Control
- Monitoring and Measurement
- Management Review

4.3 PLANNING

4.3.3 OBJECTIVES, TARGETS AND PROGRAMS

Auditor Name and Date:_____

Organization and Department Audited:_____

Personnel Interviewed:_____

STANDARD REQUIREMENTS

4.3.3 The organization shall...

	Conforms (Y/N)
a) establish, implement and maintain documented environmental objectives and targets at each relevant functions and levels within the organization.	
b) when establishing and reviewing its objectives and targets, take into account the legal and other requirements to which the organization subscribes, and its significant environmental aspects. It shall also consider its technological options, its financial, operational and business requirements, and views of interested parties.	
Objectives and targets shall be measurable, where practicable, and consistent with the environmental policy, including the commitments to prevention of pollution, compliance with applicable legal and other requirements and to continual improvement.	
The organization shall establish, implement and maintain a program(s) for achieving its objectives and targets. Program(s) shall include...	
a) designation of responsibility for achieving objectives and targets at relevant functions and levels within the organization, and	
b) the means and timeframe by which they are to be achieved.	

NOTES:

OVERALL CONFORMANCE: YES NO

4.3.3 Objectives and Targets: Supplemental Questions by Function

<i>DEPUTY DIRECTOR</i>		OBJECTIVE EVIDENCE
a.	What are the environmental objectives and targets for your Division and what role did you play in their development?	
b.	How have you allocated the means in both time and other resources to ensure that the Division's objectives and targets can be reached?	
c.	Give an example of how technological, financial, operational, or business requirements have affected the objectives and targets.	
d.	What levels of management (division, section, etc.) are included in the planning process and have EMP responsibilities?	
e.	Do you receive status reports on the progress in meeting the goals of the EMPs? If so, how is the status reported?	

<i>EMS REPRESENTATIVE</i>		OBJECTIVE EVIDENCE
a.	How were objectives and targets for the Division determined and by whom?	
b.	How did you consider... legal and other requirements when setting the objectives and targets? ...views of interested parties?	
c.	Give examples of how the objectives and targets have evolved over time.	
d.	How do you ensure that the objectives and targets are consistent with the environmental policy.	
e.	How is progress of the EMPs in meeting the objectives and targets tracked?	

NOTES:

<i>SENIOR STAFF</i>	OBJECTIVE EVIDENCE
----------------------------	---------------------------

a.	What are the Division's objectives and targets?	
b.	What role did you have input in setting the objectives and targets?	
c.	How are you tracking the progress toward meeting these goals within your section?	
d.	How are objectives and targets communicated to your staff?	

4.3.3 Objectives and Targets: Supplemental Questions by Function (cont.)

<i>DIVISION PERSONNEL</i>		OBJECTIVE EVIDENCE
a.	Have you been told of the environmental objectives and targets i.e. "environmental goals" of the Division?	
b.	Does anyone relate to you the progress in achieving the objectives and targets?	
c.	Is there an Environmental Management Program within your section for meeting one or more of the Division's objectives and targets?	
d.	How do you support the accomplishment of the EMP?	

DOCUMENTS:

- ☐ Procedure to identify objectives and targets.
- ☐ Documentation of the responsibilities for developing, reporting, tracking, and revising objectives and targets (remember that the responsibility may rest with more than one individual).
- ☐ List of objectives and targets and their connection to significant aspects.
- ☐ Records of meetings or communications with interested parties.
- ☐ Internal communications concerning objectives and targets.

EMS LINKS:

- Policy
- Legal and Other Requirements
- Operational Control
- Management Review
- Environmental Aspects
- Communication
- Monitoring and Measurement

4.4 IMPLEMENTATION AND OPERATION

4.4.2 COMPETENCE, TRAINING AND AWARENESS

Auditor Name and Date: _____

Organization and Department Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

4.4.2

	Conforms (Y/N)
The organization shall ensure that any person(s) performing tasks for or on its behalf that have the potential to cause a significant environmental impact(s) identified by the organization is (are) competent on the basis of appropriate education, training or experience, and shall retain associated records.	
The organization shall identify training needs associated with its environmental aspects and environmental management system. It shall provide training or take other action to meet these needs, and shall retain associated records.	
The organization shall establish, implement and maintain a procedure(s) to make persons working for it or on its behalf aware of:	
a) the importance of conformity with the environmental policy and procedures and with the requirements of the environmental management system,	
b) the significant environmental aspects and related actual or potential impacts associated with their work, and the environmental benefits of improved personal performance,	
c) their roles and responsibilities in achieving conformity with the requirements of the environmental management system, and,	
d) the potential consequences of departure from specified operating procedures.	

NOTES: Use reverse

OVERALL CONFORMANCE: YES NO

4.4.2 Competence, Training and Awareness: Supplemental Questions by Function		
<i>DEPUTY DIRECTOR</i>		OBJECTIVE EVIDENCE
a.	How do you identify environmental training needs within your Division?	
b.	How do you ensure that your employees understand the environmental policy?	

<i>DEPARTMENT TRAINING COORDINATOR</i>		OBJECTIVE EVIDENCE
a.	Does the RDD have procedures to assess training needs? If so, how are these needs assessed?	
b.	What different types of environmental training are offered?	
c.	What is the frequency of the various types of training that addresses environmental management?	
d.	How are training records maintained? Who is responsible for doing this?	

<i>EMS REPRESENTATIVE</i>		OBJECTIVE EVIDENCE
a.	How do you identify EMS training needs within your Division?	
b.	What types of EMS training is offered?	
c.	What is the frequency of the various types of training that addresses environmental management?	
d.	Do on-site contractors receive EMS training?	

NOTES:

SENIOR STAFF		OBJECTIVE EVIDENCE
a.	Where are EMS training records for your staff kept? (Verify for dates, signatures, etc.)	
b.	How are new employees made aware of the EMS? How do you ensure they receive the required training?	
c.	What is the procedure for ensuring that employees working on activities having significant impacts on the environment are properly trained and competent? What is this competency based upon (e.g., education, training, and/or experience)?	

DIVISION PERSONNEL		OBJECTIVE EVIDENCE
a.	What training on the environmental management program (in relation to your job) have you received in the past six months?	
b.	How has this training helped you in the performance of your job?	
c.		

NOTES: use reverse

DOCUMENTS:

- ☐ Procedure to identify training needs/requirements.
- ☐ Environmental awareness training procedures or program(s) (e.g., course outline, program description, training materials, etc.) note that awareness training may be part of existing training or established methods of communication (e.g., routine meetings) but attendance and the topics covered should be documented.
- ☐ The list of functions and/or department associated with the organization's significant aspects.
- ☐ Training records to verify that training was conducted, completed, and recorded.
- ☐ Training matrix; list of identified training needs.

EMS LINKS:

- Policy
- Environmental Aspects
- Resources, Roles, Responsibility and Authority
- Operational Control
- Monitoring and Measurement
- Emergency Preparedness and Response

4.4 IMPLEMENTATION AND OPERATION

4.4.3 COMMUNICATION

Auditor Name and Date: _____

Organization and Department Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

4.4.3 With regard to its environmental aspects and environmental management system, the organization shall establish, implement and maintain a procedure(s) for

Conforms (Y/N)

a) internal communication between the various levels and functions of the organization;	
b) receiving, documenting, and responding to relevant communication from external interested parties;	
The organization shall decide whether to communicate externally about its significant environmental aspects, and shall document its decision. If the decision is to communicate, the organization shall establish and implement a method(s) for external communication.	

NOTES:

OVERALL CONFORMANCE: YES NO

4.4.3 Communication: Supplemental Questions by Function		
<i>DEPUTY DIRECTOR</i>		OBJECTIVE EVIDENCE
a.	How are you informed of the environmental issues within the Division? How often does this take place?	
b.	What is the procedure for responding to concerns voiced by external interested parties (e.g., regulators, the public, etc.)? Who has responsibility for responding to such inquiries?	
c.	Describe your role in communicating environmental issues throughout the Division.	

<i>EMS REPRESENTATIVE</i>		OBJECTIVE EVIDENCE
a.	How is environmental information awareness reinforced throughout the organization? (newsletters, bulletin boards, staff meetings)	
b.	How are employees notified of new environmental requirements, programs, objectives and targets, and/or other information related to the EMS?	
c.	How does the Division communicate externally on its policy, environmental performance, and environmental aspects?	
d.	What external parties do you communicate with on a routine basis?	
e.	What is the procedure for responding to concerns voiced by external interested parties regarding environmental matters? Where is this process described?	
f.	Who has responsibility for responding to such inquiries? Where is this responsibility documented?	

NOTES:

4.4.3 Communication: Supplemental Questions by Function (cont.)

<i>SENIOR STAFF</i>		OBJECTIVE EVIDENCE
a.	What type of environmental information do you provide to the Deputy Director / external parties? (regulators, public, other organizations)	
b.	How are you made aware of new environmental requirements, programs, objectives and targets, and/or other information related to EMS?	
c.	Describe your role in communicating this information to your staff.	

<i>DIVISION PERSONNEL</i>		OBJECTIVE EVIDENCE
a.	How are you made aware of new environmental requirements, programs, objectives and targets, and/or other information related to EMS?	
b.	What sort of environmental information do you provide to your manager?	

NOTES:

DOCUMENTS:

- ☐ Procedures describing the organization's internal and external communication system.
- ☐ Documentation of the organization's decision on whether or not to externally communicate information on its significant aspects.
- ☐ Evidence that relevant communication of environmental information exists between different departments, divisions, offices, etc. (between various levels and functions).
- ☐ Evidence that inquiries from and responses to interested parties are documented.

EMS LINKS:

- Environmental Policy
- Environmental Aspects
- Objectives, Targets and Programs
- Competence Training and Awareness
- Management Review

4.4 IMPLEMENTATION AND OPERATION

4.4.1 RESOURCES, ROLES, RESPONSIBILITY AND AUTHORITY

Auditor Name and Date: _____

Organization and Department Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

4.4.1

Conforms (Y/N)	
Management shall ensure the availability of resources essential to establish, implement, maintain and improve the environmental management system. Resources include human resources and specialized skills, organizational infrastructure, technology, and financial resources.	
Roles, responsibilities, and authorities shall be defined, documented, and communicated in order to facilitate effective environmental management.	
The organization's top management shall appoint a specific management representative(s) who, irrespective of other responsibilities, shall have defined roles, responsibilities and authority for	
a) ensuring that environmental management system is established, implemented and maintained in accordance with the requirements of this International Standard;	
b) reporting to top management on the performance of the environmental management system for review, including recommendations for improvement.	

NOTES:

OVERALL CONFORMANCE: YES NO

4.4.1 Structure and Responsibility: Supplemental Questions by Function

<i>DEPUTY DIRECTOR</i>		OBJECTIVE EVIDENCE
a.	What resources (financial, technical, personnel) have you provided for the development and maintenance of the EMS?	
b.	What authority does the EMS representative have to carry out his/her responsibilities?	
c.	How are you informed on the performance of the EMS? Do you receive routine reports?	
d.	Are responsibilities for environmental management of the organization documented? If so, where?	
e.	How are these responsibilities communicated to all employees?	

<i>EMS REPRESENTATIVE</i>		OBJECTIVE EVIDENCE
a.	Have the roles, responsibilities, and authorities been defined, documented, and communicated to facilitate effective environmental management?	
b.	How do you inform management on the performance of the EMS? Do you provide routine reports?	
c.	Are responsibilities for environmental management of the organization documented? If so, where?	
d.	How are these responsibilities communicated to all employees?	

<i>SENIOR STAFF</i>		OBJECTIVE EVIDENCE
a.	Are responsibilities for environmental management of the organization documented? If so, where?	
b.	How do you inform management on the performance of the EMS? Do you provide routine reports?	
c.	Have roles and responsibilities for the EMS been communicated to your staff?	

4.4.1 Structure and Responsibility: Supplemental Questions by Function (cont.)

<i>DIVISION PERSONNEL</i>		OBJECTIVE EVIDENCE
a.	What are your responsibilities under the Division's EMS?	
b.	How are you informed about your role?	
c.	If you have a question or concern regarding the EMS and employee responsibilities, who would you talk to about it?	

NOTES:**DOCUMENTS:**

- ☐ Evidence that responsibilities for the environmental management system have been formally documented and sanctioned by management (examples include job descriptions, procedures that list responsibilities, memos or announcements from management, program manuals).
- ☐ Organization charts or other documentation of organizational structure.
- ☐ EMS responsibility matrix.
- ☐ Documented evidence that top management has appointed a specific EMS lead or 'champion.'
- ☐ Reports on the EMS to management (e.g., meeting minutes, memos, reports, or presentations).
- ☐ Resource needs assessment and budgets/operating plans.

EMS LINKS:

Resources, roles, responsibilities, and authorities should be defined for each element of the ISO 14001 standard.

4.4 IMPLEMENTATION AND OPERATION

4.4.4 ENVIRONMENTAL MANAGEMENT SYSTEM DOCUMENTATION

Auditor Name and Date: _____

Organization and Department Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

4.4.4 The environmental management system shall include:

	Conforms (Y/N)
a) the environmental policy objectives and targets,	
b) description of the scope of the environmental management system,	
c) description of the main elements of the environmental management system and their interaction, and reference to related documents,	
d) documents including records, required by this international standard,	
e) documents, including records, determined by the organization to be necessary to ensure the effective planning, operation and control of processes that relate to its significant environmental aspects.	

NOTES:

OVERALL CONFORMANCE: YES NO

DOCUMENTS:

- ☐ EMS documentation and related documents described in EMS manual.
- ☐ Evidence that responsibility for maintaining the documentation has been assigned.
- ☐ Procedure for the development and update of the EMS documentation.

4.4.4 Environmental Management System Documentation: Supplemental Questions by Function		
<i>DEPUTY DIRECTOR</i>		OBJECTIVE EVIDENCE
a.	Where do you go to locate a copy of your Division's EMS Manual?	
b.	Where do you find other EMS records such as environmental management program updates and objectives and targets?	

<i>EMS REPRESENTATIVE</i>		OBJECTIVE EVIDENCE
a.	What is the formal (i.e., documented) scope of your Division's EMS? Where can this be located?	
b.	Where does the EMS Manual provide direction to related documentation?	
c.	How does the EMS Manual describe the interaction of the core elements of the EMS?	
d.	Under what circumstances is the EMS Manual updated?	

<i>SENIOR STAFF</i>		OBJECTIVE EVIDENCE
a.	Where do you go to locate a copy of your Division's EMS Manual?	

NOTES:

OVERALL CONFORMANCE: YES NO

EMS LINKS:

- Pertains to all sections of ISO 14001 International Standard.

4.4 IMPLEMENTATION AND OPERATION

4.4.5 CONTROL OF DOCUMENTS

Auditor Name and Date: _____

Organization and Department Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

4.4.5 The organization shall establish, implement and maintain a procedure(s)

Conforms (Y/N)

a) approve documents for adequacy prior to issue,	
b) review and update as necessary and re-approve documents,	
c) ensure that changes and 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, and	
g) prevent the unintended use of obsolete documents and to apply suitable identification to them if they are retained for any purpose.	

NOTES:

OVERALL CONFORMANCE: YES NO

4.4.5 Document Control: Supplemental Questions by Function		
<i>DEPUTY DIRECTOR</i>		OBJECTIVE EVIDENCE
a.	How can you tell if an EMS document is or is not a controlled copy?	
b.	How do you get access to controlled documents? Where are they located?	
c.	What happens to obsolete documents?	

<i>EMS REPRESENTATIVE</i>		OBJECTIVE EVIDENCE
a.	What EMS documents are controlled? Describe how these documents are controlled.	
b.	Are documents made available to personnel who need them? How?	
c.	How do you ensure that only current versions of documents are available at all applicable work areas?	
d.	What obsolete documents are retained for legal or other purposes and how are they identified?	

<i>SENIOR STAFF</i>		OBJECTIVE EVIDENCE
a.	How can you tell if an EMS document is or is not a controlled copy?	
b.	How do you get access to controlled EMS documents? Where are they located?	
c.	Would you show me the most current EMS documentation in your office? (Auditor's Note: <i>Check for dates/revisions.</i>)	
d.	What happens to obsolete documents?	

4.4.5 Document Control: Supplemental Questions by Function (cont.)		
---	--	--

<i>DIVISION PERSONNEL</i>		OBJECTIVE EVIDENCE
a.	Do you work with any controlled EMS documents in relationship to your job duties?	
b.	If so... How do you get access to controlled EMS documents? Where are they located?	
c.	Would you show me the most current EMS documentation? (Auditor's Note: <i>Check for dates/revisions.</i>)	
d.	What happens to obsolete documents?	

NOTES:

DOCUMENTS:

- ☐ Document control procedure(s). Determine if the procedure includes responsibilities concerning the creation and modification of the documents required by the standard. Check a sample of EMS documentation to be sure it:
 - is legible
 - has revision dates
 - is readily identifiable
 - is maintained in an orderly manner.
- ☐ A sample of documents required by the standard (e.g., policy, EMS, documentation, procedures). Verify that they are part of the document control system. This may be as simple as a revision date on the bottom of the page.
- ☐ Master retention list and disposition schedule.

EMS LINKS:

The Control of Documents requirements of ISO 14001 pertain to every section of the standard.

4.4 IMPLEMENTATION AND OPERATION

4.4.6 OPERATIONAL CONTROL

Auditor Name and Date: _____

Organization and Department Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

4.4.6

	Conforms (Y/N)
The organization shall identify and plan those operations that are associated with the identified significant environmental aspects consistent with its environmental policy, objectives and targets, in line with its policy, as well as objectives and targets in order to ensure that they are carried out under specified conditions by	
a) establishing, implementing and maintaining a documented procedure(s) to control situations where their absence could lead to deviations from the environmental policy and the objectives and targets;	
b) stipulating operating criteria in the procedure(s), and	
c) establishing, implementing and maintaining procedures related to the identified significant environmental aspects of goods and services used by the organization and communicating relevant procedures and requirements to suppliers, including contractors.	

NOTES:

OVERALL CONFORMANCE: YES NO

4.4.6 Operational Control: Supplemental Questions by Function		
<i>DEPUTY DIRECTOR</i>		OBJECTIVE EVIDENCE
a.	Which operations or activities are associated with the identified significant aspects? (see list of significant aspects)	
b.	Are there standard operating procedures in place for the operations that have identified significant aspects?	

<i>EMS REPRESENTATIVE</i>		OBJECTIVE EVIDENCE
a.	Does the Division have documented procedures for performing activities that have identified significant aspects?	
b.	How were those procedures developed?	
c.	How does the Division determine what controls are appropriate?	
d.	Have procedures been established for communicating your environmental goals to suppliers and contractors?	
e.	Who has the responsibility for relating environmental goals to suppliers and contractors? Where is this documented?	

<i>SENIOR STAFF</i>		OBJECTIVE EVIDENCE
a.	Are there any activities within your section that have been identified as having significant aspects?	
b.	Have standard operating procedures been developed for the activities surrounding these aspects? May I see them?	
c.	How do you plan to mitigate these aspects?	

NOTES:

4.4.6 Operational Control: Supplemental Questions by Function (cont.)		
<i>DIVISION PERSONNEL</i>		OBJECTIVE EVIDENCE
a.	In the job you do everyday, what procedures or work instructions ensure that your operations are carried out under planned conditions?	
b.	What are the most significant environmental impacts that come from doing your job?	

NOTES:

DOCUMENTS:

- ☐ Operating procedures for activities where their absence could lead to deviations from the environmental policy and objectives and targets. Check these procedures to be sure they contain operating criteria, where appropriate.
- ☐ Procedures related to the significant aspects of the goods and services used by the organization.
- ☐ Maintenance procedures/plans.
- ☐ Procedures related to communicating pertinent procedures to suppliers and contractors.
- ☐ List of suppliers and contractors.
- ☐ Evidence that pertinent operational control procedures or other requirements were communicated to suppliers and contractors.
- ☐ *Records:* maintenance records, log books, inspection forms, contracts with environmental performance criteria and requirements.

EMS LINKS:

- Policy
- Environmental Aspects
- Objectives, Targets and Programs
- Competence, Training and Awareness
- Monitoring and Measurement

4.4 IMPLEMENTATION AND OPERATION

4.4.7 EMERGENCY PREPAREDNESS AND RESPONSE

Auditor Name and Date: _____

Organization and Department Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

4.4.7 The organization shall...

	Conforms (Y/N)
...establish, implement and maintain a procedure(s) to identify potential emergency situations and potential accidents that can have an impact(s) on the environmental and how to respond to them.	
Respond to actual emergency situations and accidents and prevent or mitigate associated adverse environmental impacts.	
...periodically review and, where necessary, revise its emergency preparedness and response procedures as necessary, in particular, after the occurrence of accidents or emergency situations.	
...periodically test such procedures where practicable.	

NOTES:

OVERALL CONFORMANCE: YES NO

DOCUMENTS:

- ☐ Procedure to identify the potential for and response to accidents and emergencies.
- ☐ Procedure for preventing emergencies and mitigating their impact.
- ☐ Emergency preparedness and response plan.
- ☐ Spill Prevention Control and Countermeasure Plan, if applicable.
- ☐ *Records:* occurrence reports, incident reports, documentation of practice drills or emergency response scenarios.

4.4.7 Emergency Preparedness and Response: Supplemental Questions by Function		
<i>DEPUTY DIRECTOR</i>		OBJECTIVE EVIDENCE
a.	Who within the Division is assigned responsibility for coordinating emergencies? Where is this responsibility defined?	
b.	How are employees (and contractors) trained on or made aware of what they should do in an emergency?	
c.	How often are these procedures tested?	
d.	Has there been training for the prevention and mitigation of the environmental impacts that may be associated with such situations?	

<i>EMS REPRESENTATIVE</i>		OBJECTIVE EVIDENCE
a.	Has the EMS put into place procedures to identify potential for and to respond to accidents and emergency situations?	
b.	Does the EMS take into account the prevention and mitigation of environmental impacts related to these situations?	
c.	Is there an emergency plan? Have arrangements been made with outside responders (fire, hospital, etc.)?	
d.	Does the EMS state that the organization review and revise, where necessary, its emergency preparedness and response procedures, especially after the occurrence of accidents or emergencies?	

<i>SENIOR STAFF</i>		OBJECTIVE EVIDENCE
a.	How does the Division identify potential for accidents and emergency situations?	
b.	What type of training has been given for response to these types of accidents or emergencies?	
c.	Has special training been given regarding the mitigation of any adverse environmental impacts resulting from such occurrences?	
d.	How often is emergency response tested? Do you have the records of such testing?	

4.4.7 Emergency Preparedness and Response: Supplemental Questions by Function		
<i>DIVISION PERSONNEL</i>		OBJECTIVE EVIDENCE
a.	What is your role in an emergency? How do you know what to do in an emergency?	
b.	Have you been prepared as to how to handle environmental impacts resulting from accidents or emergencies? (spill control, fire fighting, first responder training)	

NOTES:

EMS LINKS:

- Environmental Aspects
- Resources, Roles, Responsibility and Authority
- Training
- Operational Control

4.5 CHECKING

4.5.1 MONITORING AND MEASUREMENT

Auditor Name and Date:_____

Organization and Department Audited:_____

Personnel Interviewed:_____

STANDARD REQUIREMENTS

4.5.1 The organization shall...

Conforms (Y/N)

...establish, implement and maintain a procedure(s) to monitor and measure, on a regular basis, the key characteristics of its operations that can have a significant environmental impact. The procedure(s) shall include the documenting of information to monitor performance, applicable operational controls and conformity with the organization's objectives and targets.	
...ensure that calibrated or verified monitoring and measurement equipment is used and maintained and retain associated records.	

NOTES:

OVERALL CONFORMANCE: YES NO

4.5.1 Monitoring and Measurement: Supplemental Questions by Function		
<i>DEPUTY DIRECTOR</i>		OBJECTIVE EVIDENCE
a.	Does your organization have documented procedures to monitor and measure those areas that could have a significant impact on the environment?	
b.	Does your organization have documented procedures for periodically evaluating compliance with relevant environmental legislation and regulation?	

<i>EMS REPRESENTATIVE</i>		OBJECTIVE EVIDENCE
a.	Does the EMS provide for the monitoring and measurement of key activities that can have significant impacts on the environment?	
b.	Do these provisions include the recording of information to track the organization's performance, relevant operational controls, and its conformance with its objectives and targets?	
c.	Describe the Division's environmental compliance auditing program.	
d.	How often are audits conducted?	
e.	Who has responsibility for conducting these audits? Is this person sufficiently independent of the operations being audited?	

<i>SENIOR STAFF</i>		OBJECTIVE EVIDENCE
a.	How are the key characteristics of your operation – those that can have a significant impact on the environment – monitored and measured?	
b.	How is this documented? (Verify, objectives and targets, logs, etc.)	
c.	What procedures are in place to ensure that monitoring practices meet all relevant environmental legislation and regulations?	
d.	How often is monitoring equipment calibrated and serviced? May I see the records?	

4.5.1 Monitoring and Measurement: Supplemental Questions by Function (cont.)		
<i>DIVISION PERSONNEL</i>		OBJECTIVE EVIDENCE
a.	What kinds of monitoring equipment do you use?	
b.	How often is the monitoring equipment calibrated and serviced?	
c.	Who keeps track of the records for servicing this equipment?	

NOTES:

DOCUMENTS:

- ☐ Procedure to monitor and measure operations that can have a significant impact on the environment; list of operations determined to be linked to significant impacts.
- ☐ Compliance reports; calibration procedures.
- ☐ Tracking databases to monitor performance of operations linked to significant aspects.
- ☐ Procedures to maintain and monitor equipment; procedures to monitor objectives and targets.
- ☐ *Records*: maintenance records and requests, monitoring logs, calibration records, inspection sheets, audit reports or checklists, records of monitoring objectives and targets.

EMS LINKS:

- Policy
- Environmental Aspects
- Objectives, Targets and Programs
- Training
- Operational Controls
- Nonconformance and Corrective and Preventive Action
- Internal Audit

4.5 CHECKING

4.5.3 NONCONFORMITY, CORRECTIVE ACTION AND PREVENTIVE ACTION

Auditor Name and Date: _____

Organization and Department Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

4.5.3 The organization shall establish and maintain procedure(s) for dealing with actual and potential nonconformity(ies) and for taking corrective action and preventive action. The procedure(s) shall define requirements for

	Conforms (Y/N)
a) identifying and correcting nonconformity(ies) and taking action(s) to mitigate their environmental impacts,	
b) investigating nonconformity(ies), determining their cause(s) and taking actions in order to avoid their recurrence,	
c) evaluating the need for action(s) to prevent nonconformity(ies) and implementing appropriate actions designed to avoid their occurrence,	
d) recording the results of corrective action(s) and preventive action(s) taken, and	
e) reviewing the effectiveness of corrective action(s) and preventive action(s) taken.	

	Conforms (Y/N)
Actions taken shall be appropriate to the magnitude of the problems and the environmental impacts incurred.	
The organization shall ensure that any necessary changes are made to EMS documentation	

NOTES:

OVERALL CONFORMANCE: YES NO

4.5.3 Nonconformity, Corrective Action and Preventive Action: Supplemental Questions by Function		
<i>DEPUTY DIRECTOR</i>		OBJECTIVE EVIDENCE
a.	Who is responsible for investigating nonconformity to the EMS?	
b.	Who handles the implementation of corrective and preventive action resulting from C/PAR submittals?	
c.	What happens to a C/PAR once submitted?	

<i>EMS REPRESENTATIVE</i>		OBJECTIVE EVIDENCE
a.	Does the organization have procedures for defining responsibility and authority for handling and investigating nonconformity?	
b.	Whose responsibility is it to take action to mitigate the impacts caused by the nonconformity?	
c.	How are changes resulting from C/PAR submittals implemented and recorded?	
d.	Is management kept informed of corrective actions taken and the progress made toward preventing recurrence? How?	

<i>SENIOR STAFF</i>		OBJECTIVE EVIDENCE
a.	What part do you play in the mitigation of nonconformities?	
b.	How do you keep management informed of the corrective actions taken and the progress made toward preventing recurrence?	
c.	Who retains the records on action taken in response to C/PAR submittals?	

4.5.2 Nonconformance and Corrective and Preventive Action: Supplemental Questions by Function (cont.)		
<i>DIVISION PERSONNEL</i>		OBJECTIVE EVIDENCE
a.	Do you know what a C/PAR is and what they used are for?	
b.	To whom would you submit a C/PAR if you saw the need to fill one out?	

NOTES:

DOCUMENTS:

- ☐ Procedure regarding corrective and preventive actions to verify that responsibility and authority for handling nonconformity is defined.
- ☐ Evidence of changes to procedures based on corrective or preventive actions, where warranted.
- ☐ Reports or printouts from tracking or trending efforts.
- ☐ Corrective action plans and root cause analysis.
- ☐ Reports to management regarding corrective and preventive actions to determine management's role in the corrective/preventive action process and to assess the flow of environmental information.

EMS LINKS:

- Operational Control
- Monitoring and Measurement
- Internal Audit

4.5 CHECKING

4.5.4 CONTROL OF RECORDS

Auditor Name and Date: _____

Organization and Department Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

4.5.4 The organization shall...

	Conforms (Y/N)
a) establish and maintain records as necessary to demonstrate conformity to the requirements of its environmental management system and of the ISO 14001 International Standard, and the results achieved.	
b) establish, implement and maintain a procedure(s) for the identification, storage, protection, retrieval and disposal of records.	
Records shall be and remain legible, identifiable and traceable.	

NOTES:

OVERALL CONFORMANCE: YES NO

4.5.4 Control of Records: Supplemental Questions by Function		
<i>DEPUTY DIRECTOR</i>		OBJECTIVE EVIDENCE
a.	Who is responsible for managing EMS records?	
b.	Where are the environmental records and those records that relate to achieving and maintaining the Division's EMS retained?	

<i>EMS REPRESENTATIVE</i>		OBJECTIVE EVIDENCE
a.	How does the EMS deal with the retention of training and audit records?	
b.	Have guidelines been established as to the length of time records are required to be stored?	
c.	Are backup files maintained for all EMS information currently available electronically?	
d.	How does the organization ensure that EMS records are readily retrievable and are protected against damage?	

<i>SENIOR STAFF</i>		OBJECTIVE EVIDENCE
a.	How do you store your records pertaining to EMS training, regulatory compliance, and equipment calibration?	
b.	Storage policy for environmental records requires that they be maintained for how long?	
c.	Can you show me where you keep your environmental records? (<i>Review for dates, storage methods, and retrievability.</i>)	
d.		

NOTES:

4.5.4 Control of Records:		Supplemental Questions by Function (cont.)
<i>DIVISION PERSONNEL</i>		OBJECTIVE EVIDENCE
a.	When you were given EMS training, was your presence at that training documented?	
b.	Are you aware of what happened to those documents?	
c.	Are you asked to fill out any forms or keep any records that reflect on the environmental impact of performing your job? Are they signed and dated? Who do you give them to?	

NOTES:

DOCUMENTS:

- ☐ Procedures related to records management.
- ☐ List or description of records which are a part of the records retention process.
- ☐ Records retention times.

EMS LINKS:

- Control of Documents

4.5 CHECKING

4.5.5 ENVIRONMENTAL MANAGEMENT SYSTEM AUDIT

Auditor Name and Date: _____

Organization and Department Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

4.5.5 The organization shall ensure that internal audits of the environmental management system are conducted at planned intervals to...

	Conforms (Y/N)
a) determine whether environmental management system 1) conforms to planned arrangements for environmental management, including the requirements of this International Standard, and 2) has been properly implemented and is maintained, and	
b) provide information on the results of the audit to management;	

Audit program(s) shall...take into consideration the environmental importance of the operation(s) concerned and the results of previous audits.

Audit procedures(s) shall be planned, established, implemented and maintained that address

	Conforms (Y/N)
the responsibilities and requirements for planning and conducting audits, reporting results and retaining associated records,	
The determination of audit criteria, scope, frequency and methods	

Selection of auditors and conduct of the audits shall ensure objectivity and impartiality of the audit process.

NOTES:

OVERALL CONFORMANCE: YES NO

4.5.5 Environmental Management System Audit: Supplemental Questions by Function		
<i>DEPUTY DIRECTOR</i>		OBJECTIVE EVIDENCE
a.	Have you been provided with the results of previous audits?	
b.	In what form have these results been provided? May I see them?	
c.		

<i>EMS REPRESENTATIVE</i>		OBJECTIVE EVIDENCE
a.	What procedures are in place to perform periodic audits?	
b.	What criterion determines the frequency of the audits?	
c.	Have past audits been conducted in accordance with the schedule?	
d.	Do you have records for the training received by the EMS auditors? May I see them?	
e.	To whom are the audit results communicated?	

DOCUMENTS: ☐ <u>EMS audit procedure.</u> Verify that it contains: - audit scope - frequency - methodologies - responsibilities - requirements for conducting audits and reporting results ☐ EMS audit plans, including interview list. ☐ EMS audit reports and findings. ☐ Reports to management on audit results. ☐ Schedules. ☐ Audit protocol.

EMS LINKS:

- Nonconformity, Corrective Action and Preventive Action
- Competence, Training and Awareness
- Control of Records
- Management Review

4.6 MANAGEMENT REVIEW

Auditor Name and Date: _____

Organization and Department Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

4.6

Conforms (Y/N)

Top management shall review the organization's environmental management system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness.	
Reviews shall include assessing opportunities for improvement and the need for changes to the EMS, including the environmental policy and environmental objectives and targets.	
Records of the management reviews shall be retained.	

Input to management reviews shall include

Conforms (Y/N)

a) results of internal audits and evaluation of compliance with legal requirements and with other requirements to which the organization subscribes,	
b) communication(s) from external interested parties, including complaints,	
c) the environmental performance of the organization,	
d) the extent to which objects and targets have been met,	
e) status of corrective actions and preventive actions	
f) follow-up actions from previous management reviews,	
g) changing circumstances, including developments in legal and other requirements related to its environmental aspects, and	
h) recommendations for improvement	

NOTES: (use reverse side if necessary)

OVERALL CONFORMANCE: YES NO

4.6 Management Review: Supplemental Questions by Function		
<i>DEPUTY DIRECTOR</i>		OBJECTIVE EVIDENCE
a.	Please describe the management review process within your EMS?	
b.	How often are management reviews performed to ensure continuing suitability, adequacy, and effectiveness of the EMS?	
c.	What improvements or changes have been made in the EMS as a result of the last review?	
d.	What information is collected and provided to management as a basis to perform the review?	
f.	Who takes part in the management review?	

<i>EMS REPRESENTATIVE</i>		OBJECTIVE EVIDENCE
a.	Please describe the management review process as outlined in your EMS.	
b.	When was the last management review meeting? May I see any records, minutes, or documents generated from that meeting?	
c.	Who attends these meetings?	
d.	How is the effectiveness of the EMS evaluated?	
e.	What information is provided to management to enable them to adequately review the EMS?	

NOTES:

DOCUMENTS:

- ☐ Evidence that the management review was conducted (e.g., reports, meeting minutes).
- ☐ Procedure on conducting management reviews.
- ☐ Procedures modified on the basis of the management review.

EMS LINKS:

- Policy
- Environmental Aspects
- Objectives, Targets and Programs
- Communication
- Monitoring and Measurement
- Internal Audit