

## Generic ISO 14001 EMS Internal Audit Checklist

### 4.2 Environmental policy

Requirements	Conformity		
	Y	N	N/A
1. Has the organization defined and documented its environmental policy?			
2. Is the environmental policy based on: Significant environmental aspects? Corporate policy?			
3. Is the policy appropriate to the organization's activities and their potential environmental impacts?			
4. Does the policy include commitments to: Continual improvement Prevention of pollution Comply with environmental legislation and other requirements to which the company subscribes			
5. Does the policy provide a framework for setting environmental objectives and targets?			
6. Is the policy documented, implemented, maintained and communicated to all persons working for or on behalf of the organisation?			
7. Is the policy available to the public?			

### 4.3.1 Environmental aspects

Requirements	Conformity		
	Y	N	N/A
1. Has a procedure been established, implemented and maintained to identify the environmental aspects of its current and relevant past activities?			
2. Have aspects related to potential significant environmental aspects been considered in establishing and implementing the EMS?			
3. Have aspects having legal and/or regulatory reporting, monitoring or operational requirements been identified as "significant" aspects?			
4. Are the following environmental aspects considered in sufficient detail? Air emission Wastewater effluent Waste management Soil pollution Raw material and natural resource usage Hazardous and toxic material Impact on well being (e.g. noise, smell, heat, landscape, protection) Utility, energy and resource Other environmental specific issues on site such as housekeeping, storage, areas, piping			
5. Are the following operational aspects considered? Normal operating conditions			

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### 4.3.1 Environmental aspects

Requirements	Conformity		
	Y	N	N/A
Abnormal operating conditions (e.g. start up and shut down conditions, maintenance, incidents) Development of new or modified processes, products or services Actual and potential emergency conditions and accidents			
6. Have significant aspects been identified?			
7. Are the significance evaluation criteria reasonable and adequate?			
8. Are all significant environmental aspects controlled by objectives, targets, and programmes, procedures or monitoring?			
9. Have indirect aspects such as the following considered? Supplier evaluation Subcontractors on site Transportation Products and service related impacts			
10. Have environmental aspects identified and evaluated for planned or new developments, or new or modified activities, products and services ?			

### 4.3.2 Legal and other requirements

Requirements	Conformity		
	Y	N	N/A
1. Has a procedure been developed and implemented to identify applicable regulatory, legal and other requirements?			
2. Are current copies of all applicable regulatory and other requirements accessible to personnel as necessary?			
3. Have all further agreements the organization needs to fulfill been integrated in the procedure? Business related agreements Agreements with public authorities Guideline other than legal requirements (e.g. company policy, industry codes and practices, etc.)			
4. Are the following licenses, permits and approvals available to demonstrate full legal compliance? Licenses of waste collectors Air emission permits Wastewater discharge permits Permits and licenses related to dangerous goods Environmental fees, e.g. wastewater discharge fee Registration at authorities (e.g. wastewater discharge, air emission inspection)			

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### 4.3.3 Objectives, targets and programmes

Requirements	Conformity		
	Y	N	N/A
1. Have environmental objectives and targets been established at each relevant function and level in the organization?			
2. Are objectives and targets documented?			
3. Are objectives and targets specific, measurable, concrete and understandable?			
4. Do the objectives and targets take into consideration of the followings? The compliance with the relevant legislation and other requirements The significant environmental aspects The criteria for selection of adequate technology, financial operation and business requirements The views of interested parties			
5. Are the objectives and targets consistent with the following? Environmental policy The commitment for prevention of pollution The commitment for continual improvement of the environmental performance (where applicable)			
6. Has an environmental performance evaluation system been established to periodically review the achievement of the objectives and targets?			
7. Are evaluation criteria or meeting records available to determine what significant environmental aspects become objectives and targets?			
8. Have programmes for the achievement of environmental objectives and targets been established and implemented?			
9. Have responsibilities been assigned for programmes at each appropriate function and level?			
10.			
11. Do the programmes include the following elements? Designation of responsibility for achieving objectives and targets at each relevant function and level of the organization The means and time-frame by which the programmes are to be achieved Are the programmes, where appropriate, revised and amended to apply to new development, new or modified activities, products or services			

### 4.4.1 Resources, roles, responsibility and authority

Requirements	Conformity		
	Y	N	N/A
1. Is an organization chart available?			
2. Have responsibilities and authorities for environmental management been defined and documented?			
3. Has a Management Representative been assigned?			
4. Have the roles, responsibilities, and authorities for the Management			

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### 4.4.1 Resources, roles, responsibility and authority

Requirements	Conformity		
	Y	N	N/A
Representative been defined?			
5. Are the required resources (e.g. personnel, technology, finance) for implementation and control of the environmental management system provided by management?			
6. Does the personnel appointed in environmental management have the required competence?			

### 4.4.2 Competence, training, and awareness

Requirements	Conformity		
	Y	N	N/A
1. Have training needs been identified?			
2. Are all personnel, whose work can cause significant environmental impacts, competent on the basis of education, training and or experience?			
3. Have procedures been established to assure all persons working for or on behalf of the company are aware of the Environmental Policy, actual and potential impacts and their responsibilities?			
4. Has the organization ensured that personnel performing environmental specific tasks have the required knowledge (e.g. education, training experience)?			
5. Does the communication process ensure that business partners, suppliers and contractors are aware of the relevant requirements of the organization's EMS?			
6. Do the contractors working on site have the requisite knowledge and skills or have been trained to perform the work in an environmental responsible manner?			
7. Are training records, certificates and licenses available to demonstrate the competence?			

### 4.4.3 Communication

Requirements	Conformity		
	Y	N	N/A
1. Are procedures maintained for communication of environmental issues between various levels of the organization?			
2. Are procedures maintained for receiving, documenting and responding to communications from external interested parties?			
3. Has the organization recorded its policy and/or processes for external communications on its significant environmental aspects?			

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### 4.4.4 Documentation

Requirements	Conformity		
	Y	N	N/A
1. Have the core elements of the EMS and their interaction been described in paper or electronic form?			
2. Does documentation of core EMS elements provide direction to related documentation?			
3. Are the following EMS documents documented : - policy, objectives & targets, scope of the EMS			

### 4.4.5 Control of documents

Requirements	Conformity		
	Y	N	N/A
1. Are procedures maintained to ensure periodic review and appropriate revision of all required documents?			
2. Are current versions of all required documents available at all essential locations?			
3. Are obsolete documents promptly removed or otherwise assured against unintended use?			
4. Is all documentation legible, readily retrievable and identifiable, and revision level or date identified?			
5. Have procedures been established for the creation modification and appropriate approval of the various types of documents?			

### 4.4.6 Operational control

Requirements	Conformity		
	Y	N	N/A
1. Are activities associated with significant environmental aspects planned and carried out under specified conditions?			
2. Have documented procedures been established, implemented and maintained for operations associated with significant environmental aspects, policy, objectives and targets?			
3. Have, during development of the documented procedure, the following elements considered?  Activities where their absence could cause deviation from environmental policy, objectives and targets  Stipulating operating criteria and limits for control of the important activity characteristics  Control processes of significant environmental aspects of products and services  Release of new or modified processes and products			
4. Are, during the development of the documented procedures, other indirect impacts considered?			
5. Have procedures been established relating to the significant environmental aspects of materials and services purchased and used by the organization?			

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### 4.4.6 Operational control

Requirements	Conformity		
	Y	N	N/A
6. Have procedures been established to communicate relevant procedures and/or requirements, regarding environmental aspects of purchased products or services, to suppliers and subcontractors?			

### 4.4.7 Emergency preparedness and response

Requirements	Conformity		
	Y	N	N/A
1. Have procedures been implemented to identify the potential for and respond to accidents and emergencies?			
2. Have procedures been established to prevent and mitigate impacts of accidents and emergencies?			
3. Are emergency procedures tested where practicable?			
4. Are emergency plans available? Are procedures defined to ensure that environmental impacts of accidents and emergency situations are mitigated?			
5. Are the responsibility defined to review and revise, where necessary, the emergency preparedness and response procedures?			

### 4.5.1 Monitoring and measurement

Requirements	Conformity		
	Y	N	N/A
1. Have procedures been documented and implemented to monitor key characteristics of operations that can have significant impacts?			
2. Has any environmental performance indicator that relates to objectives and targets been established?			
3. Are records available to track performance and conformity with objectives and targets?			
4. Are all monitoring equipment appropriately maintained and calibrated?			

### 4.5.2 Evaluation of compliance

Requirements	Conformity		
	Y	N	N/A
1. Are documented procedures established, implemented and maintained to periodically evaluate compliance with relevant environmental legislation and other requirements?			
2. Has monitoring and measuring data been recorded to evaluate the compliance with relevant environmental legislation and other requirements?			

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### 4.5.3 Nonconformity, corrective action and preventive action

Requirements	Conformity		
	Y	N	N/A
1. Have procedures been established to define the responsibility for handling, investigating and controlling, and mitigating nonconformity?			
2. Are corrective and preventive actions timely, appropriate and effective?			
3. Are procedures changed and/or updated as a result of corrective action and preventive action?			
4. Does the procedure include the fact that complaints from interested parties are to be integrated in the process?			

### 4.5.4 Control of Records

Requirements	Conformity		
	Y	N	N/A
1. Have procedures been implemented to identify maintenance and disposal of environmental records?			
2. Are environmental records legible, readily retrievable, protected against damage?			
3. Have retention times been specified?			
4. Do the records include the followings: Training records Audit results Management review records Information on applicable environmental laws and other requirements Inspection, maintenance and calibration records Information on emergency preparedness and response Information on significant environmental aspects and associated impacts Permits Monitoring data Details of nonconformity, incidents, complaints and follow-up actions Contractors and suppliers records Process and product information			

### 4.5.5 Internal audit

Requirements	Conformity		
	Y	N	N/A
1. Have internal audit procedures been developed and implemented?			
2. Are audit frequencies and topics based on the environmental importance of the activity concerned and the results of prior audits?			
3. Do audit procedures cover how results are reported and how results are provided to management?			
4. Do audit procedures adequately define scope, frequency, methods and			

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### 4.5.5 Internal audit

Requirements	Conformity		
	Y	N	N/A
responsibilities?			
5. Has the audit system been fully and effectively implemented?			
6. Do audit reports and records indicate a reliable system which can be used as a tool in the third party audit process?			
7. Are the auditors conducting the audits competent and in a position to conduct the audits objectively and impartially?			

### 4.6 Management review

Requirements	Conformity		
	Y	N	N/A
1. Do periodic management reviews take place to ensure the continuing suitability and effectiveness of the EMS?			
2. Does management review result in changes as appropriate to the policy, objectives, targets etc.?			
3. Are management reviews records retained ?			
4. Are the reviews carried based on the following documents or information? Audit results reports Evaluations of compliance with legal requirements and other requirements to which the company subscribes Achievement of environmental management system objectives and targets Communications and complaints from relevant interested parties The environmental performance of the organization Status of corrective and preventive actions Follow-up actions from previous management reviews Changing circumstances, including developments in legal and other requirements related to its environmental aspects, and Recommendations for improvement			