ISO 14001:2004

Environmental Management Systems (EMS)

Self-Assessment Checklist

This document restates the requirements of ISO 14001:2004 for Environmental Management Systems (EMS) and has been developed to assist BSI and its' clients in the assessment of environmental management systems for compliance with ISO 14001:2004.

This checklist presents the requirements of ISO 14001:2004 as questions and can be used as an effective tool for implementing the environmental management system and for self-assessment of the system.
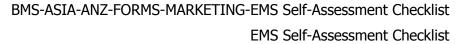
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SCOPE OF CERTIFICATION What is the scope of environmental management system and what scope is being assessed for certification? Does it include those environmental aspects which you can control or over which you could be expected to have an influence? Is the scope of the environmental management system defined and documented within the organization's environmental management system (EMS) documentation? Are there activities that are excluded from the scope of the environmental management system and are the reasons for exclusion acceptable?	

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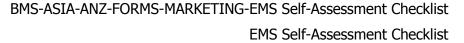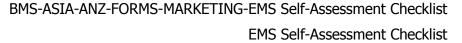| ISO 14001: 2004 REQUIREMENTS	COMMENTS ON SYSTEM STATUS
ENVIRONMENTAL POLICY Has top management defined the organization's environmental policy? a) Is the policy consistent with the scope of the environmental management system? b) Is the policy appropriate to the nature, scale and environmental impacts of your activities, products or services? c) What commitment does your policy make to continual improvement? d) What commitment does your policy make to the prevention of pollution? e) How does the policy include a commitment to comply with relevant environmental legislation and regulations, and with other requirements to which you subscribe that relate to your environmental aspects (eg Industry guidelines)? f) Does the policy provide the framework for setting and reviewing environmental objectives and targets? g) How is the policy documented, implemented and maintained and communicated to all persons? h) How is the policy available to the public?	

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PLANNING
 	
Environmental Aspects
Has the organization established, implemented and maintained a procedure to identify the environmental aspects of activities, products or services that are within the scope of its EMS, and that:
 	
   (i)   it can control
   (ii)   over which it can be expected to
           have an influence
 	
Does this include planned or new developments, or new or modified activities, products and services?
 	
How does the procedure determine those aspects that have or can have significant impacts on the environment? (ie. Are details of assessment methodology included).
 	
Are the details of these assessments documented?
 	
Are significant aspects considered throughout all of the EMS processes (eg. documentation, communication, emergency preparedness and response, internal audits)?
 	
Is the procedure(s) maintained?
 	
How is the information on the environmental aspects documented and kept up to date?	

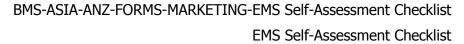| ISO 14001: 2004 REQUIREMENTS	COMMENTS ON SYSTEM STATUS
Legal and Other Requirements Has a procedure been established and implemented to identify and have access to applicable legal and other requirements (eg. National Packaging Covenant, Greenhouse Challenge) which your organization subscribes to that are directly applicable to the identified environmental aspects? How is this procedure maintained? How do you ensure that you have access to all of the legal requirements, including codes of practice, that apply to the environmental aspects of your activities, products and services? Does the procedure determine how the legal and other requirements apply to the environmental aspects? Are the legal and other requirements taken into account in establishing, implementing and maintaining the EMS (eg. objectives, monitoring and measuring, training, auditing etc)? Is the person responsible for identifying and determining how the legal and other requirements apply competent to undertake the task? *Note: it does not imply that a legal qualification is necessary.*	

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ISO 14001: 2004 REQUIREMENTS	COMMENTS ON SYSTEM STATUS
Objectives, Targets & Programmes Has your organization established, implemented and maintained documented environmental objectives and targets? Have these been established at relevant functions and levels within the organization? Has your organization established, implemented & maintained a programme(s) for achieving its objectives and targets? Are the objectives and targets measurable (where practical) and are they consistent with the following: • environmental policy ? • legal and other requirements ? • prevention of pollution ? • continual improvement ? When setting your objectives and targets how do you consider: • legal and other requirements? • significant environmental aspects? How do you consider: • technological options? • financial, operational and business requirements? • the views of interested parties?	

Who is responsible at the different levels of your organization for implementing the programme(s)? What are the means and timeframes for achieving the different objectives and targets? How does the organization ensure that programme(s) are amended as a result of new developments, new or modified activities, products and services?	

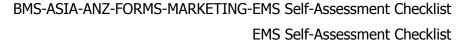| ISO 14001: 2004 REQUIREMENTS	COMMENTS ON SYSTEM STATUS
IMPLEMENTATION AND OPERATION **Resources, roles, responsibility & authority** How are the roles, responsibility and authorities defined and documented and communicated in order to achieve effective environmental management? How does management provide resources essential to establish, implement, maintain and improve the environmental management system? Do these resources include: a) human resources? b) specialised skills? c) organizational infrastructure? d) technology? e) financial resources? Has the top management appointed a specific management representative(s) for the environmental management system? Do the roles of the representative(s) include the defined roles, responsibilities and authority for: f) Ensuring that environmental management system requirements are established, implemented and maintained in accordance with ISO 14001:2004? Reporting on the performance of the environmental management system to top management including recommendations for improvement?	

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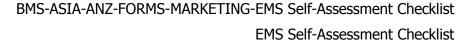| ISO 14001: 2004 REQUIREMENTS	COMMENTS ON SYSTEM STATUS
Competence, training and awareness How does your organization ensure that all persons working for them, or on their behalf (*eg. staff, contractors, shift workers, casual staff, labour hire etc*), are competent to undertake the tasks that can cause significant environmental impacts? *Note: Assessment of competence can be on the basis of appropriate education, training and/or experience.* Has the organization retained competency records? How does the organization identify training needs associated with the significant environmental aspects and the environmental management system? Has training, or other actions required to meet these needs been delivered, and associated records retained? Has a procedure(s) been established, implemented and maintained to ensure that the people working for, or on behalf of your organization are aware of: a) the importance of conformity with the environmental policy and procedures and with the requirements of the environmental management system?	

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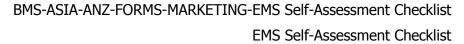|	
b) the significant environmental aspects and related actual or potential impacts associated with their work activities and the environmental benefits of improved personal performance? c) their roles and responsibilities in achieving conformity with the requirements of the environmental management? d) the potential consequences of departure from specified operating procedures?	
Communication As relevant to its Environmental Aspects and Environmental Management System, has your organization established, implemented and maintained procedure(s) for: • Internal communication between the various levels and functions of your organization? • Receiving, documenting and responding to relevant communication from external interested parties? Has the organization decided whether to communicate externally about its significant environmental aspects? Has your decision in this regard been documented? If the decision has been made to communicate this information, has the organization established and implemented the method(s) for this communication?	

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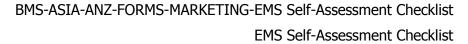| ISO 14001: 2004 REQUIREMENTS	COMMENTS ON SYSTEM STATUS
Documentation System Does your organization's environmental management system documentation include: ➢ the environmental policy, objectives and targets? ➢ a description of the scope of the environmental management system? ➢ a description of the main elements of the environmental management system, their interaction and reference to related documents? ➢ documents and records required by the Standard? ➢ Documents, including records, necessary for the effective planning, operation and control of processes related to its significant aspects? How is this maintained?	

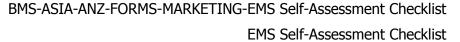| ISO 14001: 2004 REQUIREMENTS	COMMENTS ON SYSTEM STATUS
Control of documents Has your organization established, implemented and maintained a procedure(s) for controlling all documents required by this ISO 14001? Does the procedure address: (a) Who approves the documents for adequacy before they are issued? (b) how they are periodically reviewed, updated and re-approved as necessary? (c) how changes and the current revision status are identified? (d) How current versions of relevant documents are made available at points of use? (e) How the legibility and identification of the documents is ensured? (f) How external documents, as determined by the organization for effective planning and operation of the environmental management system are identified and controlled? (g) How to prevent obsolete documents against unintended use, and apply suitable identification to them if they are retained for any purpose?	

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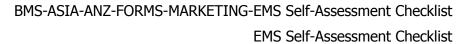| ISO 14001: 2004 REQUIREMENTS	COMMENTS ON SYSTEM STATUS
Operational Control How has your organization identified and planned those operations that are associated with the identified significant environmental aspects in line with its policy, objectives and targets? How have these activities been planned, including maintenance, in order to ensure that they are carried out under specified conditions that includes: e) Establishing, implementing and maintaining documented procedures to cover situations where their absence could lead to deviations from the environmental policy and the objectives and targets? (b) stipulating operating criteria in the procedures? (c) Establishing, implementing and maintaining procedures related to the identified significant environmental aspects of goods and services used by the organization and communicating applicable procedures and requirements to suppliers and contractors.	

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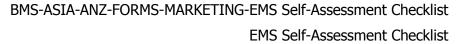| ISO 14001: 2004 REQUIREMENTS	COMMENTS ON SYSTEM STATUS
Emergency Preparedness and Response Has your organization established, implemented and maintained a procedure(s) to identify the potential emergency situations and potential accidents that can have an impact on the environment? Are significant environmental aspects considered in the emergency preparedness and response procedure(s)? Does the procedure(s) cover how the organization will respond to these situations? How do these procedures allow for the prevention and mitigation of the adverse environmental impacts that may be associated with actual emergency situations and accidents? How does the organization periodically review and revise its emergency preparedness and response procedures, particularly after the occurrence of accidents or emergency situations? Have you periodically tested such procedures (where practicable)?	

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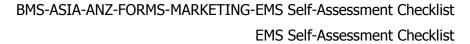| ISO 14001: 2004 REQUIREMENTS	COMMENTS ON SYSTEM STATUS
CHECKING AND CORRECTIVE ACTION **Monitoring and Measurement** Has your organization established, implemented and maintained a procedure(s) to monitor and measure, on a regular basis, the key characteristics of its operations that can have a significant impact on the environment? How does this procedure include the recording of information to monitor: (a) performance? (b) relevant operational controls?, and (c) conformity with the organization's environmental objectives and targets? How is monitoring and measuring equipment calibrated or verified and maintained? Are calibration or verification records retained?. **Evaluation of compliance** Has your organization established, implemented and maintained a procedure(s) for periodically evaluating its compliance with the applicable legal and other requirements? Are the records of the results of these periodic evaluations maintained?	

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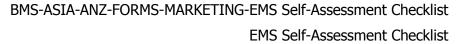| ISO 14001: 2004 REQUIREMENTS	COMMENTS ON SYSTEM STATUS
Non-conformity, Corrective & Preventive Action Has the organization established, implemented and maintained a procedure(s) for : (a) dealing with actual and potential non-conformities, and (b) corrective and preventive action? Do the procedures defined requirements for: (a) identifying and correcting non-conformities and taking action to mitigate the resulting environmental impacts? (b) Investigating the non-conformities, determining their causes and take action to avoid their recurrence? (c) Evaluating the need for actions to be taken to prevent non-conformities, and implementing appropriate actions? (d) Recording the results of corrective and preventive actions taken? (e) Reviewing the effectiveness of corrective and preventive actions? Are the responsibilities and authorities for this process defined? How is the procedure updated? How do you decide that the action(s) taken to eliminate the causes of actual and potential non-conformities are appropriate to the magnitude of the problem(s) and the environmental impact(s) encountered? How do you ensure that changes (if any) are made in the environmental management system documentation?	

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Control of Records Has your organization established, implemented and maintained procedures for the identification, storage, protection, retrieval, retention and disposal of environmental records? How are these updated? Do these records include those that are necessary to demonstrate conformity to the requirements of the standard and include (for example), records of: (a) competence, training & awareness? (b) communication? (c) evaluation of compliance with legal and other requirements? (d) monitoring and measurement? (e) corrective & preventive action? (f) Internal audits? (g) Management review? Are the records legible, identifiable and traceable ? How do you store the environmental records in such a way that they are readily retrievable and protected against damage, deterioration or loss?	

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ISO 14001: 2004 REQUIREMENTS	COMMENTS ON SYSTEM STATUS
Internal Audit Has your organization planned, established, implemented and maintained a programme and procedure(s) for periodic internal audits to be conducted? Do these internal audits determine whether or not the environmental management system: (a) conforms to planned arrangements for environmental management including the requirements of this standard, and (b) has been properly implemented and maintained? How does the audit programme take into consideration the environmental importance of the operations concerned, and the results of previous audits? How does the organization provide information on the results of audits to management? Does the audit procedure cover: (a) the responsibilities and requirements for planning and conducting audits, reporting results and retention of associated records? (b) The determination of audit criteria, scope, frequency and methods? How does the selection of auditors and the conduct of audits ensure objectivity and impartiality of the audit process? How is auditor competency determined?	

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Management Review Has your organization's top management (at planned intervals) reviewed the environmental management system, to ensure its continuing suitability, adequacy and effectiveness? Does the review include assessing opportunities for improvement and the need for changes to the Environmental Management System, including the environmental policy and targets? Do the inputs to management review include: (a) results from internal audits and evaluations of compliance with legal and other requirements? (b) Communication from external parties, including complaints? (c) The environmental performance of the organization? (d) The extent to which the objectives and targets have been met? (e) The status of corrective and preventive action (f) Follow-up actions from previous management reviews	

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(g) Changing circumstances, including developments in legal and other requirements related to its environmental aspects, and (h) Recommendations for improvement? Do the outputs from the management review include decisions and actions related to possible changes to the environmental policy, objectives, targets and other elements of the environmental management system, consistent with the commitment to continual improvement? Are the records of the management reviews retained?	

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