ISO 14001:2015 (EMS) Checklist

Serial No.	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 organization?			
7	Is the policy available to the public?			

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Serial No.	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 potentially 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.			
5	Are the following operational aspects considered? Normal operating conditions 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, programs, procedures, or monitoring?			
9	Have indirect aspects such as the following been 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?			

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Serial No.	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 into 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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Serial No.	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 the following? 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 the 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 programs for the achievement of environmental objectives and targets been established and implemented?			
9	Have responsibilities been assigned for programs at each appropriate function and level?			
10	Do the programs 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 programs are to be achieved Are the programs, where appropriate, revised and amended to apply to new development, new or modified activities, products or services.			

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Serial No.	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 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?			

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Serial No.	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 environmentally responsible manner?			
7	Are training records, certificates, and licenses available to demonstrate competence?			

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Serial No.	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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Serial No.	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			

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Serial No.	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?			

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Serial No.	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 the development of the documented procedure, the following elements been 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?			
6	Have procedures been established to communicate relevant procedures and/or requirements, regarding environmental aspects of purchased products or services, to suppliers and subcontractors?			

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Serial No.	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 the 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?			

Serial No.	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?			

Serial No.	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?			

Serial No.	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?			

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Serial No.	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 Permit Monitoring data Details of nonconformity, incidents, complaints, and follow-up actions Contractors and suppliers records Process and product information.			

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Serial No.	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 responsibilities?			
5	Has the audit system been fully and effectively implemented?			
6	Do audit reports and records indicate a reliable system that 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?			

Serial No.	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 out based on the following documents or information?			