

AUDIT 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

ISO 14001 STANDARD REQUIREMENTS

OVERALL CONFORMANCE: **YES NO**

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.	

DOCUMENT REVIEW

Environmental Policy
 Evidence of management support of the policy (e.g., press release, internal memo, signature on the policy, distribution of the policy).

EMS LINKS:

- Environmental Aspects
- Objectives, Targets and Programs
- Legal and Other Requirements
- Monitoring and Measurement
- Operational Controls
- Monitoring and Measurement
- Communications
- Management Review

Supplemental Questions by Function

Note: Shaded sections typically apply only to the initial EMS development.

4.2 Environmental Policy:		
<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?	

Supplemental Questions by Function

<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?	

.2 Environmental Policy:		
<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: