

AUDIT CHECKLIST

4.3 PLANNING

4.3.2 LEGAL and OTHER REQUIREMENTS

ISO 14001 STANDARD REQUIREMENTS

OVERALL CONFORMANCE: YES NO

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.	

DOCUMENT REVIEW

<input type="checkbox"/> <u>Legal and other requirements procedure.</u> <input type="checkbox"/> Communication to others in the organization on legal requirements. <input type="checkbox"/> List of legal requirements (federal, state, local) to which the organization must comply. <input type="checkbox"/> Listing of other requirements that the organization has decided to follow (e.g., industry codes of practice, certification programs, internal codes of practice). <input type="checkbox"/> 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

Supplemental Questions by Function

4.3.2 Legal and Other Requirements:		
<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?	

Supplemental Questions by Function

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

NOTES: