

# AUDIT CHECKLIST

## 4.4 IMPLEMENTATION AND OPERATION

### 4.4.1 RESOURCES, ROLES, RESPONSIBILITY AND AUTHORITY

ISO 14001 STANDARD REQUIREMENTS

OVERALL CONFORMANCE: YES NO

4.4.1

	Conforms (Y/N)
Management shall ensure the availability of resources essential to establish, implement, maintain and improve the environmental management system. Resources include human resources and specialized skills, organizational infrastructure, technology, and financial resources.	
Roles, responsibilities, and authorities shall be defined, documented, and communicated in order to facilitate effective environmental management.	
The organization's top management shall appoint a specific management representative(s) who, irrespective of other responsibilities, shall have defined roles, responsibilities and authority for	
a) ensuring that environmental management system is established, implemented and maintained in accordance with the requirements of this International Standard;	
b) reporting to top management on the performance of the environmental management system for review, including recommendations for improvement.	

### DOCUMENT REVIEW

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| <ul style="list-style-type: none"> <li><input type="checkbox"/> Evidence that <u>responsibilities for the environmental management system have been formally documented</u> and sanctioned by management (examples include job descriptions, procedures that list responsibilities, memos or announcements from management, program manuals).</li> <li><input type="checkbox"/> Organization charts or other documentation of organizational structure.</li> <li><input type="checkbox"/> EMS responsibility matrix.</li> <li><input type="checkbox"/> Documented evidence that top management has appointed a specific EMS lead</li> <li><input type="checkbox"/> Reports on the EMS to management (e.g., meeting minutes, memos, reports, or presentations).</li> </ul> |
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#### EMS LINKS:

Resources, roles, responsibilities, and authorities should be defined for each element of the ISO 14001 standard.

## Supplemental Questions by Function

<b>4.4.1 Structure and Responsibility:</b>		
<b><i>DEPUTY DIRECTOR</i></b>		<b>OBJECTIVE EVIDENCE</b>
<b>a.</b>	What resources (financial, technical, personnel) have you provided for the development and maintenance of the EMS?	
<b>b.</b>	What authority does the EMS representative have to carry out his/her responsibilities?	
<b>c.</b>	How are you informed on the performance of the EMS? Do you receive routine reports?	
<b>d.</b>	Are responsibilities for environmental management of the organization documented? If so, where?	
<b>e.</b>	How are these responsibilities communicated to all employees?	

<b><i>EMS REPRESENTATIVE</i></b>		<b>OBJECTIVE EVIDENCE</b>
<b>a.</b>	Have the roles, responsibilities, and authorities been defined, documented, and communicated to facilitate effective environmental management?	
<b>b.</b>	How do you inform management on the performance of the EMS? Do you provide routine reports?	
<b>c.</b>	Are responsibilities for environmental management of the organization documented? If so, where?	
<b>d.</b>	How are these responsibilities communicated to all employees?	

<b><i>SENIOR STAFF</i></b>		<b>OBJECTIVE EVIDENCE</b>
<b>a.</b>	Are responsibilities for environmental management of the organization documented? If so, where?	
<b>b.</b>	How do you inform management on the performance of the EMS? Do you provide routine reports?	
<b>c.</b>	Have roles and responsibilities for the EMS been communicated to your staff?	

## Supplemental Questions by Function

<b>4.4.1 Structure and Responsibility:</b>	
<i>DIVISION PERSONNEL</i>	
	<b>OBJECTIVE EVIDENCE</b>
<b>a.</b>	What are your responsibilities under the Division's EMS?
<b>b.</b>	How are you informed about your role?
<b>c.</b>	If you have a question or concern regarding the EMS and employee responsibilities, who would you talk to about it?

### NOTES: