AUDIT CONFORMANCE QUESTIONS FOR ISO 14001

Environmental Policy Statement (4.2):

1. Has executive management defined and signed the organization's Environmental Policy?
2. Appropriate to the nature of the organization's activities, products and/or services?
3. Is the policy appropriate to the organization's scale?
4. Is there a commitment to prevention of pollution?
5. Is there a commitment to continual improvement?
6. Is there a commitment to comply with all appropriate environmental laws and regulations?
7. Is there a commitment to comply with voluntary requirements to which the organization subscribes?
8. Does it provide a framework for establishing Environmental Objectives?
9. Is there a process to review Environmental Objectives?
10. Is it documented?
11. Is it implemented?
12. Do all employees know how their job function relates to the Environmental Policy?
13. Is it available to the public?

Environmental Aspects (4.3.1):

14. Has the organization developed a procedure(s)to identify the environmental aspects of its activities, products and/or services that it can control and over which it can be expected to have an influence?
15. Does the procedure include the evaluation of non-routine conditions?
16. Does the organization utilize and improve this procedure(s)?
17. Has the organization utilized the procedure(s) to determine which of its environmental aspects have, or can have, significant impacts on the environment?
18. Is the information relative to the environmental aspects kept up to date?

Legal and Other Requirements (4.3.2):

19. Has the organization developed a procedure to identify applicable environmental legal and regulatory requirements?
20. Has the organization developed a procedure to identify any voluntary requirement to which it subscribes?
21. Does the organization have a procedure to insure completeness and availability of the required documents?
22. Is the information relative to Legal and Other Requirements kept up to date?

Environmental Objective and Target (4.3.3):

23. Did the organization utilize the following when established its objectives and targets:

    a. legal and other requirements?
    b. significant environmental aspects?
    c. commitment to prevention of pollution?
    d. views of interested parties?
24. Are there appropriate objectives and targets for every level of the organization?
25. Are the objectives and targets consistent with the Environmental Policy statement?
26. Are the objectives and targets documented?

Environmental Management Programs (4.3.4):

27. Has the organization established programs for meeting its environmental objectives and targets?
28. Has responsibility been assigned at all appropriate levels of the organization?
29. Has a schedule(s) been established to meet all of the targets?
30. Have the appropriate "mechanisms" been supplied?
31. Is the environmental management program followed within the organization?
32. Utilizing the principle of continual improvement does the organization modify as necessary its environmental management programs?

Structure and Responsibility (4.4.1):

33. Has the organization defined the roles, responsibilities, and authorities of its employees with respect to the environmental management system?
34. Have the above been documented and communicated?
35. Have the following resources been provided to implement and maintain the system?
    a. human resources (manpower),
    b. special skills,
    c. technology, and
    d. financial resources.
36. Has a management representative been appointed?
37. Does the management representative have the following defined role:
    a. establishing ISO 14001 requirements,
    b. determining whether ISO 14001 requirements have been implemented,
    c. determining whether the ISO 14001 conformance is maintained,
    d. reporting to top management on conformance and continual improvement.

Training, Awareness and Competence (4.4.2):

38. Has the organization defined its training needs?
39. Has the entire organization been provided baseline training related to the following?

a. importance of the EMS,
b. roles within organization related to the EMS, and
c. consequences of deviating from the EMS.
40. Does the organization require and provide training for those positions that could have a significant impact on the environment based upon education and experience?
41. Does the organization require and provide training with respect to emergency preparedness and response?
42. Has the organization developed competency standards?

COMMUNICATION (4.4.3):

43. Does the organization have an internal communication process for the environmental management system?
44. Does the organization have a process in place for receiving and responding to "relevant" external communications?
45. Has the organization decided whether it will communicate to external parties information with respect to its significant environmental aspects?
46. If the organization has decided not to communicate information to external parties with respect to its significant environmental aspects, has it established a record of that decision?

ENVIRONMENTAL MANAGEMENT SYSTEM DOCUMENTATION (4.4.4):

47. Has the organization documented information that describes the foundation elements of the environmental management system and how they interact?
48. Does the documented information reference all the necessary supporting information?

DOCUMENT CONTROL (4.4.5):

49. Has the organization established procedures for controlling all of the documents required by the standard?
50. Does the procedure insure that all the documents can be located at the necessary workstations?
51. Are the following items addressed on each controlled document:
a. revision number
b. authorized signature
c. date of issuance
d. readily identified.
52. Does the organization maintain a current master list of authorized documents?
53. Does the organization maintain a process of removing out of date documents?

OPERATIONAL CONTROL (4.4.6):
54. Has the organization identified its operations that are associated with its Significant Environmental Aspects?

55. Has the organization developed procedures and operational criteria, including maintenance, that address those operations?
56. Does the organization communicate relevant portions of its environmental management system to suppliers and contractors who have the potential to interact with its Significant Environmental Aspects?

EMERGENCY PREPAREDNESS AND RESPONSE (4.4.7):

57. Has the organization evaluated its operations with respect to potential emergency situations and accidents?
58. Has the organization developed procedures to respond to such potential emergency situations and accidents?
59. Does the organization periodically test the procedures?

MONITORING AND MEASUREMENT (4.5.1):

60. Does the organization have documented procedures to monitor and measure on a set frequency the characteristics of its operation that are related to the significant environmental aspects?
61. Does the organization have proper calibration procedures to insure that measurements are accurate and reproducible?
62. Does the organization have a documented procedure with a set frequency to evaluate compliance with applicable environmental laws and regulations?
63. Does the organization record and maintain the above information?

NONCONFORMANCE AND CORRECTIVE AND PREVENTATIVE ACTION (4.5.2):

64. Does the organization have an established procedure for defining responsibility and authority for:
    a.   investigating nonconformance?
    b.   initiating mitigation activities?
    c.   performing corrective action?
    d.   completing preventative action?
65. Does the organization modify existing procedure when appropriate to prevent nonconcurrence?

RECORDS (4.5.3):

66. Has the organization established record retention procedures?
67. Do these procedures address record identification, maintenance and retention?
68. Does the organization include all the records necessary to support the EMS within the records retention procedures:
    a.   legal and other requirements?
    b.   permits?

     c.   environmental aspects and impacts?
     d.   environmental training?
     e.   inspection and calibration records?
     f.   monitoring data?
     g.   nonconformance information?
     h.   environmental audits?
     i.   management reviews?
     j.   emergency preparedness?
     k.   etc.

ENVIRONMENTAL MANAGEMENT SYSTEM AUDITS (4.5.4):

69.   Has the organization established a program and procedure for an EMS audit?
70.   Are the program and procedure designed to:
     a.   determine conformance to the EMS?
     b.   determine conformance with ISO 14001?
     c.   provide reports to top management?
71.   Does program recognize the need for increased audit frequency for areas of the EMS with previous nonconformance?
72.   Does the program require competency of the auditors?

MANAGEMENT REVIEW (4.6):

73.   Does the organization's top management routinely review the EMS for effectiveness?
74.   Is there a set schedule for the reviews?
75.   Are the management reviews documented?
76.   Does the review information include:
     a.   compliance information based upon applicable environmental laws, regulations and permits?
     b.   internal audit reports?
     c.   reports on the achievement of Environmental Targets?
     d.   information related to changing environmental aspects and impacts?
     e.   summaries of internal and external communications related to the EMS?
     f.   etc.
77.   Does management include in the review the concept of continual improvement?
78.   Does the management review focus on potential modifications to the Environmental Policy statement and the Environmental Objectives?