## EMS Management System Audit Checklist

These checklists are provided for general guidance in verifying compliance to the ISO 14001 Standard and internal procedures.

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| **Date** | Auditor |

1. **Environmental Policy /\_\_/ Yes /\_\_/ No**

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| Yes | No | Topic: Policy |
|  |  | Does the EMS include a written environmental policy that has been defined by top management? |
|  |  | Does the policy commit your facility to compliance with both legal requirements and voluntary commitments?  **OR**  Are programs and procedures in place that achieves compliance with both your legal requirements and your voluntary commitments? |
|  |  | Does the policy commit your facility to preventing pollution at its source wherever possible? |
|  |  | Does the policy commit your facility to continuously improve your environmental performance, even in areas where you do not have regulatory requirements? |
|  |  | Does the policy commit your facility to sharing information with your  community about your environmental performance and about how your  EMS operates?  **OR**  Do you have programs and procedures in place that implement your commitment to share information with your community about your environmental performance? |
|  |  | Is the Environmental Policy documented, implemented, maintained and communicated to all employees and available to the public? |
|  |  | If you can answer “Yes” to all of the questions in this section, then select “Yes” for Environmental Policy. Otherwise, select “No.” |

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| Comments: |  |

1. **Planning: Environmental Aspects, Legal and Other Requirements, Objectives and Targets, EMS Improvement Programs. /\_\_/ Yes /\_\_/ No**

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| **Yes** | **No** | **Topic: Aspects** |
|  |  | Has an analysis of all the facility’s aspects that it can control and over which it can be expected to have an influence, both regulated and unregulated? |
|  |  | Are significant aspects managed? |
|  |  | Have significant aspects been identified and communicated to employees? |
|  |  | **Topic: Legal and Other Requirements** |
|  |  | Does the EMS include an inventory of all your legal requirements at the  Federal, State, and local level? |
|  |  | Does the EMS include procedures for integrating changes to your legal requirements or voluntary commitments into the EMS? |
|  |  | **Topic: Objectives and Targets** |
|  |  | Does the EMS include measurable objectives and targets and active, documented programs to meet your policy commitments? |
|  |  | Are objectives and targets consistent with significant aspects and policy? |
|  |  | Are timeframes set and met to meet objectives and targets? |
|  |  | Is progress tracked and communicated to management? |
|  |  | **Topic: EMS Improvement Programs** |
|  |  | Has the organization established a program(s) for achieving its objectives and targets? |
|  |  | Do the objectives and targets consider pollution and other preventative measures? |
|  |  | Has the improvement program(s) accomplish the stated objective? |
|  |  | Has a responsible person been identified for implementing the program(s)? |
|  |  | Is/Are the individual(s) assigned responsibility or implementation and oversight include reviewing and updating? |
|  |  | Are improvement programs linked to significant aspects, objectives and targets? |
|  |  | Does top management provide resources essential to the implementation and control of the EMS? |
|  |  | Have methods used to measure and report progress been determined? |
|  |  | Are improvement program(s) supported by sufficient resources? |
|  |  | If you can answer “Yes” to all of the questions in this section, then select “Yes” for Planning. Otherwise, select “No.” |

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| Comments: |  |

**3. Implementation and Operation: Structure and Responsibility, Training awareness and competence, Communication, EMS documentation, Document control, operational control, Emergency preparedness and response /**\_\_/ Yes /\_\_/ No

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| Yes | No | **Topic: Structure and Responsibility** |
|  |  | Has an EMS manager been appointed? |
|  |  | Has the EMS defined and communicated the roles and responsibilities and authority to facilitate environmental management? |
|  |  | Is there top management commitment to the EMS? |
|  |  | Has management provided resources essential to the implementation and control of the EMS? |
|  |  | Has top management reviewed an EMS performance report? |
|  |  | **Topic: Training Awareness and Competence** |
|  |  | Have EMS training needs been determined? |
|  |  | Have training procedures been determined? |
|  |  | Has EMS, informal or formal, training been documented? |
|  |  | **Topic: Communication** |
|  |  | Have employees received the policy and been informed of the associated EMS policies and procedures? |
|  |  | Are external EMS communications available? |
|  |  | **Topic: EMS documentation** |
|  |  | Does the EMS document all of the following:   1. Environmental policy 2. Significant environmental impacts 3. Objectives and Targets 4. Improvement program(s) |
|  |  | **Topic: Document Control** |
|  |  | Have procedure(s) on document control been established, to approve documents for adequacy prior to issue. |
|  |  | Documents should include:   1. Improvement Program(s) established for achieving environmental objectives & targets 2. Roles & Responsibility for achieving objectives & targets at relevant functions & levels in organisation 3. Funds and resources allocated 4. Program(s) timeframe |
|  |  | **Topic: Operational Control** |
|  |  | Have you identified those operations and activities that are associated with the identified significant environmental aspects in line with the policy, objectives, and targets? |
|  |  | Establishment of procedures related to significant environmental aspects of goods & services used by the organisation. |
|  |  | Are procedure(s) maintenance measures in place? |
|  |  | **Topic: Emergency Preparedness and Response** |
|  |  | Does the EMS include an emergency preparedness guide? |
|  |  | Periodic tests of procedure(s) where practicable? |
|  |  | Does the organization have an appropriate emergence response in place? |
|  |  | Is the Emergency Response Plan reviewed on a regular schedule? |
|  |  | Does the organization have an emergency drill schedule and documentation that drill(s) have been conducted? |
|  |  | If you can answer “Yes” to all of the questions in this section, then select “Yes” for Implementation and Operation. Otherwise, select “No.” |

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| Comments: |  |

**4. Checking and Corrective Action: Monitoring and Measurement, Nonconformance and preventative action, records, EMS Audit** /\_\_/ Yes /\_\_/ No

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| **Yes** | **No** | **Topic: Monitoring and Measurement** |
|  |  | Does the EMS include procedure(s) to monitor and measure (on a regular basis) the key characteristics of operations that can have a significant environmental impact? |
|  |  | Does the EMS include an ongoing program for preventing and detecting noncompliance with legal requirements? |
|  |  | Procedure(s) includes recording of information to track:   1. performance 2. operational controls 3. conformity with environmental objectives and targets |
|  |  | Has a regulatory compliance assessment been reviewed on schedule? |
|  |  | **Topic: Nonconformance and Preventative Action** |
|  |  | Does your EMS include an active program for prompt corrective action  of noncompliance with legal requirements and of nonconformance with  EMS requirements? |
|  |  | Procedure for:   1. dealing with actual and potential environmental nonconformities 2. taking corrective and preventive action |
|  |  | Procedure defines requirements for:   1. recording results of corrective & preventive action 2. reviewing effectiveness of corrective & preventive action 3. action taken is appropriate to magnitude of problems & environmental impacts encountered |
|  |  | **Topic: EMS Audit Records** |
|  |  | Do you have an EMS audit program? |
|  |  | Does your EMS include a compliance audit program? |
|  |  | Does your EMS document changes resulting from corrective and preventive action? |
|  |  | Procedures for following control of records:   1. Identification 2. Storage 3. Protection 4. Retention 5. Disposal 6. Procedure maintenance |
|  |  | Are EMS records are legible, identifiable and traceable? |
|  |  | Has the organization established EMS information in paper and or electronic form? |
|  |  | Have current versions of relevant documents been made available? |
|  |  | Are mechanisms defined by which obsolete documents are promptly removed from all points of issue and points of use or otherwise assured against unintended use? |
|  |  | Are obsolete documents retained for legal and/or knowledge preservation purposes are suitably identified? |
|  |  | Is an EMS self-audit scheduled?  Start Date Completion date: |

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| Comments: |  |

**5. Management Review:**  Do you have a documented management review of the performance and effectiveness of your EMS in meeting the EMS policy commitments?

/\_\_/ Yes /\_\_/ No

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| **Yes** | **No** | **Topic: EMP Policy Commitments** |
|  |  | Has top management reviewed the EMS at planned intervals to evaluate continuing suitability, adequacy & effectiveness? |
|  |  | Have management reviews been recorded, agendas and minutes taken? |
|  |  | Inputs to management review includes:   1. results of internal audits (preferably evaluation of effectiveness of internal audit program) 2. evaluations of compliance with legal requirements & other requirements 3. communication from external interested parties, including complaints 4. environmental performance of the organization 5. extent to which objectives & targets have been met 6. status of corrective & preventative action 7. follow up actions from previous management reviews 8. changing circumstances, including developments in legal & other requirements related to environmental aspects 9. recommendations for improvement (from management representative) |
|  |  | Output from management should include:   1. decisions and actions related to possible changes to environmental policy, 2. affirmation or changes to objectives, targets, amd other elements of EMS, 3. consistent with commitment to continual improvement |

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| Comments: |  |

**6. Aspect Analysis**

/\_\_/ Yes /\_\_/ No

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| Yes | No | Topic: Aspect Analysis |
|  |  | Have you done a comprehensive review of all activities conducted at your facility that could impact the environment? |
|  |  | Have you selected significant aspects based on their potential harm to the environment, on community concerns, and/or on other objective factors? |
|  |  | When did you last update the aspect analysis? |

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| Comments: |  |

1. **EMS Cycle:** Have you completed at least one EMS cycle (plan-do-check-act)?

/\_\_/ Yes /\_\_/ No

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| 🗸 | A complete cycle includes: |
|  | An annual EMS audit is planned. |
|  | Audit procedures verify/cover the audit scope, frequency, methodologies, as well as responsibilities and requirements for conducting audits and reporting results. |
|  | Identified significant aspects and legal requirements |
|  | Set measurable objectives and targets |
|  | Established roles and responsibilities for meeting EMS and legal requirements through: journals, newsletters, internet sights, mailing lists, or LinkedIn with National Environmental Peer Auditor Network / EPA Compliance Assistance Program |
|  | Taking suitable steps to meet the established objectives and targets |
|  | Evaluated progress in meeting established objectives and targets |
|  | Completing a management review of the EMS and its results; as a *performance report* been prepared and shared with top management? |

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| Comments: |  |

## Audit Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Audit Conclusions:**

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Management Appointee Date

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_**

Auditor Date

**Outline of a model for planning an audit**

1. Clarification of audit scope and brief
2. Pre-audit meeting with auditee
3. Second pre-audit meeting to clarify points and logistics (optional)
4. Audit team meeting (optional)
5. Audit
6. Opening meeting
7. Site tour
8. Questioning, documentation review, consolidation of findings
9. Exit meeting
10. Draft Audit report
11. Final Audit report
12. Audit findings Action Plans
13. Next audit scheduled

**Example of the contents of an audit report**

1. Executive summary
   * Key findings and commentary
   * Commentary on site tour and photographs
   * Full list of all recommendations
2. Scope of Audit
   * Areas audited, site location, audit focus
3. Date of audit and participants
4. Detailed report
   * Sections based upon topics covered in audit protocol
5. Conclusions and Recommendations