

Complements of Randall Daily

ITEM	REF.#	CRITERIA	COMMENTS	EVIDENCE
1	4.1	Has an environmental management system been established?		
2	4.2a	Has top management defined the organization's environmental policy to ensure that it is appropriate to the nature, scale and environmental impacts of activities, products or services?		
3	4.2b	Has top management defined the organization's environmental policy to ensure that it includes a commitment to continual improvement and prevention of pollution?		
4	4.2c	Has top management defined the organization's environmental policy to ensure that it includes a commitment to comply with relevant environmental legislation and regulations, and with other requirements to which the organization subscribes?		
5	4.2d	Has top management defined the organization's environmental policy to ensure that it provides the framework for setting and reviewing environmental objectives and targets?		

6	4.2e	Has top management defined the organization's environmental policy to ensure that it is documented, implemented and maintained and communicated to all employees?		
7	4.2f	Has top management defined the organization's environmental policy to ensure that it is available to the public?		
8	4.3.1	Has the organization established and maintained a procedure to identify the environmental aspects of its activities, products and services that it can control, and over which it has an influence?		
9	4.3.1	Has the organization considered the aspects identified in the previous question as related to significant impacts in setting its environmental objectives?		
10	4.3.1	Do documented procedures state that this identification will be kept up to date, and how?		
11	4.3.2	Have documented procedures been established to identify and have access to legal and other requirements to which the organization subscribes directly applicable to the environmental aspects of activities, products or services?		

12	4.3.3	Have documented environmental objectives and targets been established and maintained at each relevant function and level within the organization?		
13	4.3.3	When establishing and reviewing objectives, was consideration given to: the legal and other requirements; significant environmental aspects; technological options; financial goals; operational & business requirements; the views of interested parties?		
14	4.3.3	Are objectives and targets consistent with the environmental policy, including the commitment to the prevention of pollution?		
15	4.3.4	Do procedures document that a program will be established and maintained for achieving objectives and targets?		
16	4.3.4	Does the program specified in the previous question include: designation of responsibility for achieving objectives and targets at each relevant function and level of the organization; the means and time-frame by which they are to be achieved?		
17	4.3.4	Do procedures provide for amendment of programs as new developments or modified activities occur, to assure applicability?		

18	4.4.1	Have roles, responsibility and authorities been defined, documented and communicated in order to facilitate effective environmental management?		
19	4.4.1	Have human resources and specialized skills, technology and financial resources, essential to implementation and control of the environmental management system, been provided?		
20	4.4.1	Has top management appointed a specific management representative who has defined roles and responsibilities for ensuring the environmental management system requirements are established, implemented and maintained in accordance with ISO-14001?		
21	4.4.1	Do the roles and responsibilities of the appointed management representative include reporting on the performance of the environmental management system to top management for review and as a basis for improvement?		
22	4.4.2	Have training needs been identified?		
23	4.4.2	Has training been provided to personnel whose work may create a significant impact upon the environment?		

24	4.4.2a	Are procedures established and maintained to make employees at each relevant function and level aware of the importance of conformance with the environmental policy, procedures, and system?		
25	4.4.2b	Are procedures established and maintained to make employees at each relevant function and level aware of the significant environmental impacts (actual or potential) of their work activities, and the environmental benefits of improved performance?		
26	4.4.2c	Are procedures established and maintained to make employees at each relevant function and level aware of their roles and responsibilities in achieving conformance with environmental policy and procedures, and with the requirements of the EMS, including emergency response and preparation?		
27	4.4.2d	Are procedures established and maintained to make employees at each relevant function and level aware of the potential consequences of departure from specified operating procedures?		
28	4.4.2	Are personnel performing tasks that can cause significant impacts competent, on the basis of appropriate education, training and/or experience?		

29	4.4.3a	Are procedures established and maintained for internal communication between the various levels and functions of the organization?		
30	4.4.3b	Are procedures established and maintained for receiving, documenting and responding to relevant communication from external interested parties?		
31	4.4.3	Does the organization consider processes for external communication on significant environmental aspects, and record its decisions?		
32	4.4.4a	Does the organization have and maintain information (in paper or electronic form) to describe the core elements of the management system and their interaction?		
33	4.4.4b	Does the organization have and maintain information (in paper or electronic form) to provide direction to related documentation?		
34	4.4.5	Has the organization established, and does the organization maintain procedures for controlling all documents required by ISO-14001?		

35	4.4.5a	Do procedures for control of documents ensure that they can be located?		
36	4.4.5b	Do procedures for control of documents ensure that they are periodically reviewed, revised as necessary and approved for adequacy by authorized personnel?		
37	4.4.5c	Do procedures for control of documents ensure that the current versions of relevant documents are available at all locations where operations essential to the effective functioning of the environmental management system are performed?		
38	4.4.5d	Do procedures for control of documents ensure that obsolete documents are promptly removed from all points of issue and points of use, or otherwise assured against unintended use?		
39	4.4.5e	Do procedures for control of documents ensure that any obsolete documents retained for legal and/or knowledge preservation purposes are suitably identified?		
40	4.4.5	Is documentation legible, dated (with dates of revision) and readily identifiable, maintained in an orderly manner and retained for a specified period?		

41	4.4.5	Are procedures and responsibilities established and maintained concerning the creation and modification of the various types of documents?		
42	4.4.6	Has the organization identified those operations and activities that are associated with the identified significant environmental aspects in line with its policy, objectives and targets?		
43	4.4.6	Does the organization plan activities, including maintenance, in order to ensure that they are carried out under specified conditions?		
44	4.4.6a	Are documented procedures established and maintained to cover situations where their absence could lead to deviations from the environmental policy and the objectives and targets?		
45	4.4.6b	Does the organization stipulate operating criteria in the procedures?		
46	4.4.6c	Does the organization have procedures related to the identifiable significant environmental aspects of goods and services that the organization uses?		

47	4.4.7	Does the organization have procedures describing how the organization communicates relevant procedures and requirements to suppliers and contractors?		
48	4.4.7	Does the organization have procedures to identify potential for, and responding to accidents and emergency situations, and for preventing and mitigating the environmental impacts that may be associated with them?		
49	4.4.7	Does the organization review and revise, where necessary, our emergency preparedness and response procedures, in particular, after the occurrence of accidents or emergency situations?		
50	4.5.1	Where practicable, does the organization periodically test its emergency preparedness and response procedures?		
51	4.5.1	Does the organization have documented procedures to monitor and measure, on a regular basis, the key characteristics of its operations and activities that can have a significant impact on the environment?		
52	4.5.1	Does the organizations procedures include the recording of information to track performance, relevant operational controls and conformance with its environmental objectives and targets?		

53	4.5.1	Is monitoring equipment calibrated and maintained, and are records of this process retained in accordance with the organizations procedures?		
54	4.5.2	Does the organization have a documented procedure for periodically evaluating compliance with relevant environmental legislation and regulations?		
55	4.5.2	Does the organization have procedures for defining responsibility and authority for handling and investigating nonconformance, taking action to mitigate any impacts caused and for initiating and completing corrective and preventive action?		
56	4.5.2	Are corrective and preventive actions taken to eliminate the causes of actual and potential non-conformance's appropriate to the magnitude of problems and commensurate with the environmental impact encountered?		
57	4.5.2	Does the organization implement and record any changes in documented procedures resulting from corrective and preventive action?		
58	4.5.3	Does the organization have procedures for the identification, maintenance and disposition of environmental records, including training records and results of audits and reviews?		

59	4.5.3	Are environmental records legible, identifiable and traceable to the activity, product or service involved?		
60	4.5.3	Are environmental records stored and maintained in such a way that they are readily retrievable and protected against damage, deterioration or loss?		
61	4.5.3	Are retention times for environmental records established and recorded?		
62	4.5.3	Are environmental records maintained, as appropriate to the system and the organization, to demonstrate conformance to the requirements of ISO-14001?		
63	4.5.4	Does the organization have a program and procedures for periodic environmental management system audits to be carried out?		
64	4.5.4a (1)	Does the organizations audit program determine whether or not its environmental management system conforms to planned arrangements for environmental management including the requirements of ISO-14001?		

65	4.5.4a (2)	Does the organizations audit program determine whether or not its environmental management system has been properly implemented and maintained?		
66	4.5.4b	Does the organizations audit program provide information on the results of audits to management?		
67	4.5.4	Is the audit program, including any schedule, based on the environmental importance of the activity concerned and the results of previous audits?		
68	4.5.4	Does the organizations audit procedures cover the audit scope, frequency and methodologies, as well as the responsibilities and requirements for conducting audits and reporting results?		
69	4.6	At determined intervals, does top management review the environmental management system to ensure its continuing suitability, adequacy and effectiveness?		
70	4.6	Does the management review ensure that the necessary information is collected to allow management to carry out this evaluation?		

71	4.6	Is the management review documented?		
72	4.6	Does the management review address the possible need for changes to policy, objectives and other elements of the environmental management system, in light of audit results, changing circumstances and the commitment to continual improvement?		

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