

**ISO 14001-1996
Environmental Management System Audit Checklist**

Auditor _____ **Date** _____

4.3 Planning

Requirement/Comments

Compliant?

4.3.1 Environmental Aspects

Has the organization established and maintained (a) procedure(s) to identify the environmental aspects of its activities, products or services that it can control and over which it can be expected to have an influence, in order to determine those which have or can have significant impacts on the environment?

*Has the organization identified environmental aspects for its operations, products and services? How?
Does the decision making process take into consideration normal and abnormal operating conditions, start ups and shut downs, actual influences and potential influences, as well as those that are beneficial to the environment?
How/when are aspects reviewed and maintained; changes to processes, changes to regulations, introduction of new raw materials?
Where are the aspects defined?
How are significant environmental impacts determined? What criteria is used?
Look for procedures.
Look for potential aspects that have not been taken into consideration and ask why they were not considered.
Who was involved in determining aspects?
Were air emissions, possible ground and surface water contamination, and landfill issues considered as well as community issues such as noise, traffic, and odor?*

Does the organization ensure that the aspects related to these significant impacts are considered in setting environmental objectives and keep this information up to date?

*Look at objectives and targets to see how aspects have been considered.
How does the organization ensure that aspects related to significant impacts are considered?
Compare the list of aspects and impacts with the objectives and targets.
How does the organization maintain aspects, impacts, and objectives?*

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Does the organization keep this information up-to-date?

*How often are the aspects/impacts reviewed? What prompts a review? Who is responsible for the review?
How is this information communicated throughout the facility?
Look for procedures and records of reviews.*

4.3.2 Legal and other requirements

Has the organization established and do they maintain a procedure to identify and have access to legal and other requirements to which the organization subscribes, that are applicable to the environmental aspects of its activities, products or services?

*How does the organization know what regulations and requirements they may be subject to?
What are they? Is there a list?
Who is responsible for keeping this information updated and current?
Does the list include any voluntary standards?
Look for a procedure describing these practices.
How does the organization ensure it is complying with these regulations?
Speak with people in the organization to determine if they are aware of any regulations.
Did the organization consider federal, state and local rules and regulations?
What process does the organization have for reviewing requirements to make sure they are current in the face of changing processes and business requirements?*

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4.3.3 Objectives and Targets

Has the organization established and does it maintain documented environmental objectives and targets, at each relevant function and level within the organization?

How does the organization develop objectives and targets? Who is responsible for developing them?

What types of things were taken into consideration during development? Were reducing the creation of waste, reducing the release of specific elements to the air, reducing ground water contamination, reducing use of raw materials by reducing rework and scrap, taken into consideration? Was promoting awareness within the organization and the surrounding community considered?

Do the objectives and targets reflect the vision of the EMS policy? Are they consistent with the policy?

How does the organization ensure that employees on all levels are aware of objectives and targets?

Are the objectives and targets documented? Look for them.

Have measurable targets been defined?

How is the progress towards the targets measured?

Speak with employees on all levels to determine if they are aware of objectives and targets

When establishing and reviewing its objectives, does the organization consider the legal and other requirements, its significant aspects, its technological options, and its financial, operational, and business requirements, and the views of interested parties?

What factors does the organization consider in setting objectives and targets? Are significant impacts considered?

Are legal and other requirements, available technology, and financial resources considered?? Were interested parties involved in the development of objectives? If so, how?

How were objectives developed? Who participated in their development?

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4.3.3 Objectives and Targets (cont)

Are the objectives and targets consistent with the environmental policy, including the commitment to prevention of pollution?

Do objectives and targets reflect the visions in the quality policy?

Compare the two documents.

Is there at least one objective regarding pollution prevention?

4.3.4 Environmental management programme(s)

Has the organization established and does it maintain programs for achieving its objectives and targets, including designation of responsibility for achieving objectives and targets at each relevant function and level of the organization?

What plans have been developed to achieve objectives and targets?

Do plans include responsibility for achieving the objectives and targets?

Do plans reflect objectives and targets at lower levels of the organization?

Does the plan include its own targets and timelines for reaching them?

Look at plans. Is there one for every objective and target? What happens when something doesn't go according to plan? Is corrective action taken?

How is management kept informed of the progress towards the targets?

How are employees informed of the progress towards the targets?

Look for graphs, information in newsletters, meeting minutes, and posters.

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4.3.4 Environmental Management Program (cont)

Has the organization established, and does it maintain a program for achieving its objectives and targets including the means and time-frame by which they are to be achieved?

How does the organization plan to achieve objectives and targets?

Have responsibilities been defined?

Have time lines been defined?

How is progress monitored? Is it measurable?

What has been included in the development of the plan?

How are resources obtained?

Have programs been amended where relevant to ensure that environmental management applies to projects that relate to new development and new or modified activities, products or services?

Look at design requirements to see if environmental considerations are included.

Check management review meeting minutes for discussions of projected plans for new product, processes or services.

How are these incorporated into plans?
