



ISO 14001:2015 Audit Checklist

conducted for

The Prism

Audit Title

ISO 14001 Internal Audit Quarterly Report

Conducted on

31 Jul 2018 11:57 AM

Prepared by

Chelsea McKee

Location

Am Nordfeld 27, 30629 Hannover, Germany

Completed on

01 Aug 2018 01:57 PM

Score

61/66.0 - 92.42%

Actions

#1. Please cascade the information to all of your employees

Assignee: terrymill@gmail.com
Priority: HIGH
Due Date: 01 Aug 2018 01:32 PM
Audit: ISO 14001 Internal Audit Quarterly Report
Linked to item: Is the environmental policy documented, implemented, and maintained and communicated to all employees?
Status: To Do


#2. Please designate a smoking area.

Assignee: terrymill@gmail.com
Priority: MEDIUM
Due Date: 01 Aug 2018 01:34 PM
Audit: ISO 14001 Internal Audit Quarterly Report
Linked to item: Are the organization's objectives and targets consistent with its environmental policy, including the commitment to the prevention of pollution?
Status: To Do

Audit - 61/66 92.42%

Question	Response	Details
Introduction		
Please complete all sections starting immediately below. This internal self-assessment will evaluate the compliance of your Environmental Management System with ISO 14001:2015. Remember to attach evidence to items where required, and to sign off and complete this assessment at the end.		
4.1 General requirements		Score (1/1) 100.00%
Has the organization established and maintained an environmental management system consistent with the requirements contained in ISO 14001?	Yes	
4.2 Environmental Policy		Score (5/7) 71.43%
Has top management defined the organization's environmental policy?	Yes	
Is the environmental policy appropriate to the nature, scale, and environmental impacts of the organization's activities, products, or services?	Yes	
Does the environmental policy include a commitment to continual improvement and prevention of pollution?	Yes	
Does the environmental policy include a commitment to comply with relevant environmental legislation and regulations and with other requirements to which the organization subscribes?	Yes	
Does the environmental policy provide a framework for setting and reviewing environmental objectives and targets?	Yes	
Is the environmental policy documented, implemented, and maintained and communicated to all employees?	No	I've interviewed some of the employees and some of them were not updated about the environmental process being rolled out.
Is the environmental policy available to the public?	No	Lacks proper documentation
4.3 PLANNING		

Question	Response	Details
4.3.1 Environmental aspects		Score (4/4) 100.00%
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?	Yes	
Has the organization determined which of its aspects have a significant impact on the environment?	Yes	
Has the organization ensured that its aspects and related significant impacts are considered in setting its environmental objectives?	Yes	
Does the organization periodically update information regarding its aspects and significant impacts?	Yes	
4.3.2 Legal and other requirements		Score (1/1) 100.00%
Has the organization established and maintained 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?	Yes	
4.3.3 Objectives and targets		Score (2/3) 66.67%
Has the organization established and maintained documented environmental objectives and targets, at each relevant function and level within the organization?	Yes	
Has the organization, when establishing and reviewing its objectives, considered: The legal and other requirements? Its significant environmental aspects? Its technological options? Its financial, operational, and business requirements? The views of interested parties?	Yes	

Question	Response	Details
Are the organization's objectives and targets consistent with its environmental policy, including the commitment to the prevention of pollution?	No	Many of the employees just smoke anywhere.
 <p>Appendix 1</p>		
4.3.4 Environmental management program(s)		Score (4/4) 100.00%
Has the organization established and maintained environmental management program(s) for achieving its objectives and targets?	Yes	
Do environmental management program(s) designate responsibility for achieving objectives and targets at each relevant function and level of the organization?	Yes	
Do environmental management program(s) define the means and timeframe by which they are to be achieved?	Yes	
Are environmental management program(s) reviewed and changed when appropriate if new or modified activities, products, or services are implemented in the organization?	Yes	
4.4 Implementation and Operation		
4.4.1 Structure and responsibility		Score (4/4) 100.00%
Has the organization defined, documented, and communicated the roles, responsibilities, and authorities to facilitate effective environmental management? How is this done?	Yes	
Has management provided resources essential to the implementation and control the environmental management system?	Yes	

Question	Response	Details
Resources include human resources and specialized skills, technology, and financial resources?	Yes	
Has the organization's top management appointed (a) specific management representative(s) who irrespective of other responsibilities, has defined roles, responsibilities, and authority to: Ensure that the environmental management system (EMS) requirements are established, implemented, and maintained in accordance with this International Standard. Report on the performance of the EMS to top management for review and as a basis for improvement of the EMS.	Yes	
4.4.2 Training, awareness and competence		Score (6/7) 85.71%
Has the organization identified the training needs for all personnel whose work may create a significant impact upon the environment? How is this done?	No	They are just creating some plans for the upcoming training sessions for the employees
Has the organization established and maintained procedure to make it employees at each relevant function aware of:	Yes	
The importance of conformance with the environmental policy and procedures and with the requirement of the environmental management system (EMS)?	Yes	
The significant environmental impacts, actual or potential, of their work activities and the environmental benefits of improved personal performance?	Yes	
Their roles and responsibilities in achieving conformance with the environmental policy and procedures and with the requirements of the EMS, including emergency preparedness and response requirements?	Yes	
The potential consequences of departure from specified operating procedure?	Yes	


Question	Response	Details
How does the organization ensure that personnel performing tasks which can cause significant environmental impacts are competent on the basis of appropriate education, training, and/or experience?	Yes	
4.4.3 Communication		Score (2/2) 100.00%
Regarding its environmental aspects and environmental management system, has the organization established and maintained procedures to ensure: Internal communication between the various levels and functions of the organization? Proper receiving, documenting, and responding to relevant communication from external interested parties?	Yes	
Has the organization considered its process(es) for external communication on its significant environmental aspects and recorded its decision?	Yes	
4.4.4 Environmental management system documentation		Score (1/1) 100.00%
Has the organization established and maintained information in paper or electronic form to: Describe the core elements of the management system and their interaction? Provide direction to related documentation?	Yes	
4.4.5 Document control		Score (8/8) 100.00%
Has the organization established and maintained procedures for controlling all documents required by this International Standard to ensure:	Yes	
They can be located?	Yes	
They are periodically reviewed, revised as necessary, and approved for adequacy by authorized personnel?	Yes	

Question	Response	Details
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?	Yes	
Obsolete documents are promptly removed from all points of issue and points of use, or otherwise assured against unintended use?	Yes	
Any obsolete documents are retained for legal and/or knowledge preservation purposes are suitably identified?	Yes	
Are the organization's documents legible, dated (with dates of revision), and readily identifiable, maintained in an orderly manner and retained for a specified period?	Yes	
Has the organization established and maintained procedures and responsibilities concerning the creation and modification of the various types of documents?	Yes	
4.4.6 Operational control		Score (2/2) 100.00%
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?	Yes	

Question	Response	Details
<p>Has the organization planned these activities, including maintenance, in order to ensure that they are carried out under specified conditions by: Establishing and maintaining documented procedures to cover situations where their absence could lead to deviations from the environmental policy and the objectives and targets? Stipulating operation criteria in the procedures? Establishing and maintaining procedures related to the identifiable significant environmental aspects of goods and services used by the organization and communicating relevant procedure and requirements to suppliers and contractors?</p>	Yes	
4.4.7 Emergency preparedness and response		Score (3/3) 100.00%
<p>Has the organization established and maintained procedures to identify potential for and respond to accidents and emergency situations, and for preventing and mitigating the environmental impacts that may be associated with them?</p>	Yes	
<p>Has the organization reviewed and revised, where necessary, its emergency preparedness and response procedure, in particular, after the occurrence of accidents or emergency situations?</p>	Yes	
<p>Has the organization periodically tested such procedures where practicable?</p>	Yes	
4.5 Checking and Corrective Action		
4.5.1 Monitoring and measurement		Score (4/4) 100.00%
<p>Has the organization established and maintained 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?</p>	Yes	

Question	Response	Details
Does the monitoring and measurement include the recording of information to track performance, relevant operational controls and conformance with the organization's environmental objectives and targets?	Yes	
Does the organization calibrate equipment and maintain records according to the organization's procedures?	Yes	
Has the organization established and maintained a documented procedure for periodically evaluating compliance with relevant environmental legislation and regulations?	Yes	
4.5.2 Nonconformance and corrective and preventive action		Score (3/3) 100.00%
Has the organization established and maintained procedures for defining responsibility and authority for handling and investigating non conformance, taking action to mitigate any impacts caused, and for initiating and completing corrective and preventive action?	Yes	
When corrective and preventive actions are taken to eliminate the causes of actual and potential non conformances, are they appropriate to the magnitude or problems and commensurate with the environmental impact encountered?	Yes	
Has the organization implemented and recorded any changes in the documented procedures resulting from corrective and preventive action?	Yes	
4.5.3 Records		Score (5/5) 100.00%
Has the organization established and maintained procedures for the identification, maintenance, and disposition of environmental records, including: Training records? The results of audits (EMS audits)? The results of reviews (Management Reviews)?	Yes	

Question	Response	Details
Are the organization's records legible, identifiable, and traceable to the activity, product, or service involved?	Yes	
Are the environmental records stored and maintained in such a way that they are readily retrievable and protected against damage, deterioration, or loss?	Yes	
Are the retention times for records established and recorded?	Yes	
Are records maintained, as appropriate to the system and to the organization, to demonstrated conformance to the requirements of this International Standard?	Yes	
4.5.4 Environmental management system audit		Score (3/3) 100.00%
Has the organization established and maintained program(s) and procedure(s) for periodic environmental management system audits to be carried out in order to: -Determine whether or not the environmental management system conforms to planned arrangements for environmental management including the requirements of this International ---Standard and has been properly implemented and maintained? Provide information on the results of audits to management?	Yes	
Is the organization's audit program, including any schedule, based on the environmental importance of the activity concerned and the results of previous audits?	Yes	
Do the audit procedure cover the audit scope, frequency, and methodologies, as well as the responsibilities and requirements for conducting audits and reporting results?	Yes	

Question	Response	Details
4.6 Management Review		Score (3/4) 75.00%
Does the organization's top management, at intervals it determines, review the environmental management system to ensure its continuing suitability and effectiveness?	Yes	
Does the management review process ensure that the necessary information is collected to allow management to carry out this evaluation?	Yes	
Are the management reviews documented?	No	They lack on documenting relevant and necessary data to carry out evaluation.
Does each management review address the possible need for changes to policy, objectives, and other elements of the environmental management system, in the light of: Environment management system audit results? Changing circumstances? The commitment to continual improvement?	Yes	
Sign Off		
I, the undersigned, confirm this audit took place and was completed accurately.		
Full name and signature of auditor	Chelsea McKee	01 Aug 2018 01:55 PM
		

Media



Appendix 1