



Verification	Originator	Approved	Issued
Initials	JK	ST	ST
Date	7/17/14	12/11/2014	12/15/2014

Criteria	Audit Question	Required Evidence	Audit Observations	Y	N
General Requirements					
4.1	1) Has the scope been documented to define the fence line to which the ESMS applies (Facilities and sites)?	Verify that activities, products and services are addressed within the scope.			
General Requirements					
4.2	1) Has top management defined the Environmental Policy?	View the Environmental Policy and verify it is signed by Senior Management.			
4.2	2) Is the Environmental Policy appropriate to the nature, scale, and environmental impacts of its activities, products, or services?	Verify that the Environmental Policy includes a description of the appropriate activities, products and services.			
4.2	3) Does the Environmental Policy include a commitment to continual improvement & pollution prevention?	Confirm that the Environmental Policy includes a written commitment to continual improvement and prevention of pollution.			



4.2	4) Does the Environmental Policy include a commitment to comply with appropriate environmental laws & other requirements?	Confirm that the Environmental Policy includes a written commitment to meeting or exceeding appropriate legal and other requirements.			
4.2	5) Does the Environmental Policy provide a framework of setting & reviewing environmental objectives & targets?	Confirm that the facility objectives are identified. (e.g., reduce energy, reduce waste.)			
4.2	6) Is the Environmental Policy documented, implemented, maintained and communicated to employees? How are temporary or part-time employees covered? Do employees know how their job relates to the Environmental Policy?	Confirm that the Environmental Policy is given to employees and that the employees are given Environmental Policy awareness training.			
Environmental Policy (continued)					
4.2	7) Is the Environmental Policy available to the public? Have contractors been made aware of the Environmental Policy?	Verify that the facility has a procedure to receive and respond to inquiries on the Environmental Policy, and records the responses on an external communication log.			
Environmental Aspects					
4.3.1	1) Has a procedure for environmental aspects been developed? Does the procedure include the evaluation of non-routine conditions?	Confirm that a procedure exists for Environmental Aspects.			



4.3.1	2) Have the environmental aspects been identified? Was the procedure for environmental aspects followed? Have management controls been considered in determining those that are significant?	Review the environmental aspects. Verify that there are meeting minutes from the ESMS Core Team identifying the environmental aspects. Verify that significant aspects are managed			
4.3.1	3) Have significant environmental aspects been communicated to employees?	Determine how aspects are communicated to employees. Interview (sample) employees for awareness of the organization's aspects.			
4.3.1	4) Have objectives and targets been established for each significant aspect?	Verify that objectives and targets are linked to significant aspects			
4.3.1	5) Are aspects kept current?	Confirm the review of aspects at regular intervals. Verify the aspects are up to date. Check for any new or modified process changes that require aspects review.			
Legal and Other Requirements					
4.3.2	1) Has a procedure been developed to identify and have access to legal and other requirements? Are the Legal and other requirements kept up to date?	Confirm that a procedure exists for Legal and Other Requirements.			
Objectives, Targets and Programs					



4.3.3	1) Have objectives and targets been established for the fenceline?	Confirm the objectives & targets have been identified for significant aspects. Have staff explain the process.			
4.3.3	2) Did the ESMS Core Team utilize the following when it established its objectives and targets: legal and other requirements; significant environmental aspects; prevention pollution; views of interested parties?	Evaluate objectives and targets.			
4.3.3	3) Are objectives and targets consistent with the Environmental Policy and include a commitment to prevention of pollution?				
4.3.3	4) Are the objectives specific? Are they measurable?	Have the organization demonstrate this.			
4.3.3	5) Verify the individual roles and responsibilities on objectives and targets are defined.	Interview appropriate employees.			
4.3.3	6) Identify how progress toward the objectives and targets are tracked and communicated to upper management.	.			
4.3.3	7) Have Environmental Programs or action plans been developed to manage significant aspects?	Review the action plans. Are they linked to significant aspects?			
4.3.3	8) Have the responsibilities and timeframes for completion been defined for who will complete activities and actions?				
4.3.3	9) Have programs been modified or new programs been developed for any new activities?	.			



Resources, Roles, Responsibility and Authority					
4.4.1	1) Have the roles, responsibilities, and authorities been defined, documented and communicated?	Review Organizational charts, roles, responsibilities and authorities of personnel for the environmental and sustainability management system.			
4.4.1	2) Are adequate resources committed for implementation?				
4.4.1	3) Has a Program Manager been identified with responsibilities for maintaining the system and reporting results to management?	Program Manager is assigned that is knowledgeable about the system and will report results to senior management.			
Competence, Training and Awareness					
4.4.2	1) Have training needs been identified? Subject matter should include the environmental training required by law, procedures, and work instructions. Verify the organization has identified the job functions that may have significant environmental impact.	Review the training needs to ensure that individuals working with significant aspects have been trained. Review written training subject matter, level of understanding, and identification of the groups or job functions.			



4.4.2	2) Have procedures been developed that address: a) the importance of the ESMS; b) significant aspects; c) roles and responsibilities; d) consequences of departure from specified operating procedures?	Verify that employees whose work may impact the environment have been appropriately trained on the <u>consequences</u> of deviating from procedures. Verify that employees have been made aware of the aspects and significant aspects of their department and the <u>benefits</u> of following approved ESMS procedures			
4.4.2	3) Does the City require and provide training with respect to emergency preparedness and response?	Review training documents.			
4.4.2	4) Are personnel working with significant aspects competent based on education, training, or experience?	Interview personnel who work with significant aspects, to assure they have the proper understanding and are competent to do their job (if significant aspect involved) based upon criteria such as training in ESMS awareness, regulatory requirements, licenses or certifications.			
Communication					
4.4.3	1) Have the internal communications procedures been developed for the ESMS?	Verify by sampling the process of how EMS information is communicated			



		between the various levels and functions within the City or various departments.			
4.4.3	2) Does a process exist to receive, document, and respond to relevant external communications?	Verify by sampling the process for receiving, documenting and responding to external communications from interested parties.			
Documentation					
4.4.4	1) Has the City developed program materials in either paper or electronic form?	View ESMS Procedures, either hardcopy or electronic version.			
4.4.4	2) Are the core elements of the management system and their interaction described?	Verify the core ESMS documents include 17 elements.			
4.4.4	3) Does the ESMS program provide direction to related documentation?	Verify the cross references to related programs and documentation that provide more detail. (e.g., procedures, work instructions, plans.)			
Control of Documents					
4.4.5	1) Are there document control procedures and systems in place for controlling documents required	Review the document control procedure.			



	by the ISO 14001:2004 standard?				
4.4.5	2) Can controlled documents be located?	Verify the documents are available.			
4.4.5	3) Are documents periodically reviewed, revised as necessary and approved for adequacy by authorized personnel?	Ensure that the documents have been approved for use by an appropriate level of management.			
4.4.5	4) Are current versions available?	Ensure that documents (procedures /work instructions) are accessible to those with significant aspects associated with their jobs.			
4.4.5	5) Are obsolete documents promptly removed from points of issue or otherwise against unintended use?	Check for outdated documents.			
4.4.5	6) Are obsolete documents retained for legal and/or knowledge preservation purposes suitably identified?	Review procedure to insure that obsolete documents are removed from use.			
4.4.5	7) Is documentation legible, dated with dates of revision, and maintained in an orderly manner?	View the ESMS documents; confirm it is legible, includes revision dates, and is organized.			
4.4.5	8) Is ESMS documentation retained for a specified period?	Verify that the City follows the record retention procedures.			
4.4.5	9) Have responsibilities been defined for the creation and revision of documents and included within a procedure?	Confirm that the authority for initiating the ESMS documents and revising them is defined. (e.g., in the document control procedure.)			



Operational Control					
4.4.6	1) Have operational controls (e.g., procedures, work instructions and equipment) been identified for how significant aspects will be managed?	Review the significant aspect list and the list of procedures/work instructions to determine if the significant aspects have some type of operational control to manage them.			
4.4.6	2) Are the operating criteria specified in the procedure (work instruction)?	Review the procedures (work instructions) for operational detail, to include forms and records to complete, specific settings, data to collect, etc.			
4.4.6	3) Do the procedures exist to control contractor activity?	Review the Contractor Management Procedure.			
Emergency Preparedness & Response					
4.4.7	1) Have procedures been developed and maintained to cover emergency situations?	Review the emergency plans and procedures to ensure that they are referenced in related documents.			
4.4.7	2) Are these procedures modified in instances when emergency situations or accidents occur?	Review the procedures for possible changes after an emergency or accident; Check the emergency response procedures.			
4.4.7	3) Have periodic tests of the emergency system been conducted?	Review records for desk top reviews or mock drills.			



4.4.7	4) Verify that employees have received appropriate emergency response training.	Review training records for emergency response.			
Monitoring & Measurement					
4.5.1	1) Do procedures include monitoring & measurement requirements?	Review procedures.			
4.5.1	2) Does the City have documented procedures to monitor and measure on a set frequency the key characteristics of its operations that are related to the significant environmental aspects?	Verify that the person responsible submits a worksheet (on an established frequency) that provides data on its operations and the status of its objectives and targets and performance indicators.			
4.5.1	3) Is measuring and testing equipment retained according to procedures for proper calibration?	Review equipment requirements for calibration.			
Evaluation of Compliance					
4.5.2	4) Are environmental compliance audits being completed on a regular frequency and documented?				
Nonconformity, Corrective, & Preventive Action					
4.5.3	1) Are procedures in place for nonconformance, corrective, and preventive actions?	Review procedure for Corrective Action. Verify the procedure (process) addresses means for identifying the root cause and			



		implementing effective corrective and preventive actions.			
4.5.3	2) Have revisions to procedures been completed as a result of corrective and preventive actions?	Review CAR log for changes of procedures as a result of CARs.			

Control of Records					
4.5.4	1) Are procedures in place for records management, to include identification, maintenance, and disposition of environmental records? (ESMS records include legal and other requirements, environmental aspects, training, monitoring data, nonconformance information, environmental audits, management reviews, emergency preparedness, etc.)	Review records management procedure.			
4.5.4	2) Are audit records and training records maintained, along with other records?	Ensure that audit records and training records are maintained as a minimum; Review other environmental records for conformance to the procedure.			
4.5.4	3) Are environmental records legible, identifiable, and traceable to the activity, product or service involved?	Review the procedures to ensure that appropriate records are being generated with requisite information.			
4.5.4	4) Are records readily retrievable in suitable conditions?	Confirm records are maintained and are readily retrievable.			



4.5.4	5) The City has ensured that the retention times for its environmental records are established and recorded.	Review records retention Environmental Policy. Ensure records management is consistent with these guidelines.			
4.5.4	6) Are adequate records identified in the procedures and are they being generated, as appropriate?	Confirm that records identified in the ESMS procedures are being archived.			

Internal Audits					
4.5.5	1) Are procedures in place for periodic audits of environmental management system?	Review Internal Audit Procedures.			
4.5.5	2) Does the audit checklist cover the elements of ISO 14001:2004? Does the audit cover conformance to the ESMS?	Confirm elements of ISO 14001:2004 are addressed by answering the questions included on this checklist.			
4.5.5	3) Have the results of audits been reported to management?	Confirm that audit results are reviewed by management. (e.g., included on distribution and management review.)			
4.5.5	4) Do audit procedures address audit scope, frequency, methodology, responsibilities, and requirements for conducting and reporting audits?	Review the audit procedure.			
Management Review					



4.6	1) Does Management Review Team routinely review the ESMS for its adequacy, and effectiveness?	Verify the Management Review Procedure. Ensure that the management review records have been completed and documented.		
4.6	2) The Management Review Agenda should include the following items: status of objectives and targets, corrective and preventive actions, audit reports, interested party issues, and regulatory compliance.	Review Management review meeting minutes.		
4.6	3) Has the management review process considered possible changes to Environmental Policy, objectives and other ESMS elements?	Review possible program changes as a result of the management review process.		

*= needs refining