

# Management Review Check Sheet

**Date:** \_\_\_\_\_

**Location:** Conference Room

**Start Time:** \_\_\_\_\_

**End Time:** \_\_\_\_\_

<u>Invited</u>	<u>In Attendance</u>	<u>Signature</u>

<u>Agenda Items*</u>	<u>Discussed</u>	<u>Action Items**</u>	<u>Responsible</u>	<u>Due Date</u>
Results of Internal Audit(s)				
Evaluation of Compliance				
Communication From External Parties				
Policy Review				
Status of Current Objectives and Targets				
Annual Aspects and Impacts Update				
Proposed Significant Aspects				
New Objectives and Targets				
Establishment of Program(s)				
Assignment of Responsibility For Program(s)				
Status of Corrective & Preventive Actions				
Follow Up Actions From Previous Management Review(s)				
Changing Circumstances, Legal & Other Requirements				
Changing Circumstances, Finance				
Changing Circumstances, Resources				
Recommendations For Improvement				
Overall Suitability and Effectiveness of the EMS				
Dates Established For Follow Up Activities				
Close Out Of Management Review				

\* Refer to the Management Review Meeting Notes for Details.

\*\* If an Action Item is identified during discussion of an agenda topic, identify responsible person and due date.

<u>Revision</u>	<u>Description</u>
12/27/2005	New Form Designed To Ensure All Topics Required Are Addressed In Management Review.
9/26/2006	Changed header and footer.
10/18/2007	Changed personnel list
12/9/2008	Updated personnel list
8/3/2010	Updated personnel list



	<b><u>Internal Auditor Training Schedule</u></b>						

## ISO 14001 Internal Audit Schedule

Activity	Date	Responsible	Report Due Date
Internal Audit 1	May, 2011		Friday, June 24, 2011
Internal Audit 2	Nov., 2011		Friday, December 30, 2011
Internal Audit 3	May, 2012		Friday, June 29, 2012
Internal Audit 4	Nov., 2012		Friday, December 28, 2012
Internal Audit 6	May, 2013		Friday, June 28, 2013
Internal Audit 6	Nov., 2013		Friday, December 27, 2013

Internal audits are planned to be completed within the months listed above.

Section in Blue was Revised: 04/20/2011

**Internal Auditor Objectivity/Independence And Assignment Matrix**

Date:

Completed by: Internal Audit Team:

Clause #	Clause	Previous Score	Auditor Name	Auditor Name	Auditor Name	Auditor Name
4.1	General Requirements					
4.2	Policy				Primary	
4.3.1	Environmental Aspects				Primary	Primary
4.3.2	Legal and Other Requirements			Primary		
4.3.3	Objectives Targets and Programs		Primary			
4.4.1	Resources, Roles and Responsibilities					Primary
4.4.2	Competence, Training and Awareness					Primary
4.4.3	Communication				Primary	
4.4.4	Documentation			Primary		
4.4.5	Control of Documents					Primary
4.4.6	Operational Control		Primary			
4.4.7	Emergency Preparedness and Response		Primary			
4.5.1	Monitoring and Measurement			Primary		
4.5.2	Evaluation of Compliance				Primary	
4.5.3	Nonconformity, Corrective and Preventive Action					
4.5.4	Control of Records		Primary		Primary	
4.5.5	Internal Audit		Primary			
4.6	Management Review					Primary

**ISO14001 Internal Audit Summary Matrix**

<b>Element</b>	<b>Element Conformity</b>	<b>Implemen tation</b>	<b>Maintena nce</b>	<b>Summary</b>
<b>4.1 General Requirements</b>				<b>0</b>
<b>4.2 Environmental Policy</b>				<b>0</b>
<b>4.3.1 Environmental Aspects</b>				<b>0</b>
<b>4.3.2 Legal and Other Requirements</b>				<b>0</b>
<b>4.3.3 Objectives, Targets and Programs</b>				<b>0</b>
<b>4.4.1 Resources, Roles, Responsibilities and Authority</b>				<b>0</b>
<b>4.4.2 Competence, Training and Awareness</b>				<b>0</b>
<b>4.4.3 Communication</b>				<b>0</b>
<b>4.4.4 Documentation</b>				<b>0</b>
<b>4.4.5 Control of Documents</b>				<b>0</b>
<b>4.4.6 Operational Control</b>				<b>0</b>
<b>4.4.7 Emergency Preparedness and Response</b>				<b>0</b>
<b>4.5.1 Monitoring and Measurement</b>				<b>0</b>
<b>4.5.2 Evaluation of Compliance</b>				<b>0</b>
<b>4.5.3 Nonconformity, Corrective Action and Preventive Action</b>				<b>0</b>
<b>4.5.4 Control of Records</b>				<b>0</b>
<b>4.5.5 Internal Audit</b>				<b>0</b>
<b>4.6 Management Review</b>				<b>0</b>
<b>Summary</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

Date	Revision
12/22/2005	New Reference Document, ISO 14001 Internal Audit Summary Report Matrix
7/13/2006	Updated for internal audit June/July 2006
2/13/2007	General Requirements added to Matrix

**Internal Audit Results**

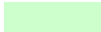
**Opportunities for Improvement:**

## Evaluation of Internal Audit Scores

Step	Clause	December, 2009		June, 2010		December, 2010		Variance
		Score	Average	Score	Average	Score	Average	
Policy	4.1 General Requirements	100	100	100	100	100	100	0.0
Policy	4.2 Environmental Policy	100		100		100		0.0
Plan	4.3.1 Environmental Aspects	100	100	100	100	100	98.3	0.0
Plan	4.3.2 Legal and Other Requirements	100		100		100		0.0
Plan	4.3.3 Objectives, Targets and Programs	100		100		95		-5.0
								0.0
Do	4.4.1 Resources, Roles, Responsibility and Authority	100	96.5	100	100.0	100		0.0
Do	4.4.2 Competence, Training and Awareness	100		100		100		0.0
Do	4.4.3 Communication	100		100		100		0.0
Do	4.4.4 Documentation	87.5		100		100		0.0
Do	4.4.5 Control of Documents	93		100		100		0.0
Do	4.4.6 Operational Control	95		100		100		0.0
Do	4.4.7 Emergency Preparedness and Response	100		100		100		0.0
Check	4.5.1 Monitoring and Measurement	100	96.4	100	100	100	98.4	0.0
Check	4.5.2 Evaluation of Compliance	100		100		100		0.0
Check	4.5.3 Nonconformity, Corrective and Preventive Action	82		100		100		0.0
Check	4.5.4 Control of Records	100		100		92		-8.0
Check	4.5.5 Internal Audit	100		100		100		0.0
Act	4.6 Management Review	100	100	100	100	100	100	0.0
			98.6		100.0		99.2	


 Score Represents A Significant Under-Performance To Plan (80% or lower).

 No Change In Score Despite Opportunity.

 Score Represents An Improvement.

 Score Represents Met Target.



 Score Declined but remained above 80%

## Section 4.1 Environmental Policy

<b>Auditor:</b>
<b>Subsection Assigned: 4.1 General Requirements</b>
<b>Date Assigned:</b>
<b>Date Due:</b>
<b>Actual Date Returned:</b>
<b>CAR(s) Issued:</b>

**Compliance Scoring**  
**1 = Meets Requirement**  
**0 = Does Not Meet Requirement**

Item	Element	Complies	Observations
1	Has upper management defined the organization's general requirements? <b>(Any evidence of this)?</b>		
2	Is the scope appropriate for the organization's activities, products and services?		
3	Do the general requirements include a commitment to continual improvement?		
4	Are the general requirements documented? <b>(How, Where)?</b>		
5	Are the general requirements implemented? <b>(How, Where, When)?</b>		
6	Is the scope of the general requirements maintained? <b>(How, When)?</b>		
7	Is the scope communicated to all employees working for the organization?		
	<i>Other requirements to which the organization subscribes.</i>		
	Comments in parentheses are from S. Mahoney		

**0** Total  
**7** Maximum Possible  
**0.00** Score  
Percent Compliance With This Section Of The  
**0** Standard

OK

## Section 4.2 Environmental Policy

<b>Auditor:</b>
<b>Subsection Assigned:</b> 4.2 Environmental Policy
<b>Date Assigned:</b>
<b>Date Due:</b>
<b>Actual Date Returned:</b>
<b>CAR(s) Issued:</b>

**Compliance Scoring**  
**1 = Meets Requirement**  
**0 = Does Not Meet Requirement**

Item	Element	Complies	Observations
1	Has upper management defined the organizations environmental policy? <b>(Any evidence of this)?</b>		
2	Is the scope appropriate to the nature, scale and environmental impacts of the organizations activities, products and services?		
3	Does the policy include a commitment to continual improvement?		
4	Does the policy include a commitment to prevention of pollution?		
5	Does the policy include a commitment to comply with applicable legal and other requirements to which the organization subscribes which relate to its environmental aspects?		
6	Does the policy provide a framework for setting and reviewing environmental objectives and targets?		
7	Is the policy documented? <b>(How, Where)?</b>		
8	Is the policy implemented? <b>(How, Where, When)?</b> <b>Interview Production and Office Personnel including 3 Cell Leaders or Managers, 3 Supervisors and 3 employees.</b>		
9	Is the policy maintained? <b>(How, When)?</b>		
10	Is the policy communicated to all persons working for or on behalf of the organization? <b>(Employees, Vendors, Contractors)?</b>		
11	Is the policy available to the public? <b>(How, Where)?</b>		
	<i>Other requirements to which the organization subscribes.</i>		

0 Total  
11 Maximum Possible  
0.00 Score  
Percent Compliance With This Section Of The  
0 Standard

OK

**Subsection 4.3.1 Environmental Aspects  
Section 4.3 Planning**

<b>Auditor:</b>
<b>Subsection Assigned:</b> 4.3.1 Environmental Aspects
<b>Date Assigned:</b>
<b>Date Due:</b>
<b>Actual Date Returned:</b>
<b>CAR(s) Issued:</b>

**Compliance Scoring**  
**1 = Meets Requirement**  
**0 = Does Not Meet Requirement**

Item	Element	Complies	Observations
1	Has the organization established a procedure to identify the environmental aspects of its activities, products and services? <i>(What is the procedure, how does it work)?</i>		
2	Has the organization implemented this procedure?		
3	Has the organization maintained the procedure?		
4	Has the organization identified those environmental aspects that it has control over and those that it can influence?		
5	Does the organization take into account planned or new developments or new/modified activities, products and services?		
6	Has the organization determined those aspects which can have a significant impact on the environment?		
7	Has the organization documented the Environmental aspects?		
8	Has the organization kept this information up to date? <i>(When were they last reviewed)?</i>		
9	Has the organization ensured that the significant environmental aspects are taken into account in establishing, implementing and maintaining its environmental management system?		
	<i>Other requirements to which the organization subscribes.</i>		

0 Total  
9 Maximum Possible  
0.00 Score  
Percent Compliance With This Subsection Of The Standard  
0

**Subsection 4.3.2 Legal and Other Requirements  
Section 4.3 Planning**

Auditor:
Subsection Assigned: 4.3.2 Legal And Other Requirements
Date Assigned:
Date Due:
Actual Date Returned:
CAR(s) Issued:

**Compliance Scoring**  
**1 = Meets Requirement**  
**0 = Does Not Meet Requirement**

Item	Element	Complies	Observations
1	Has the organization established a procedure for identifying legal and other requirements which relate to its environmental aspects? ( <i>How do they do it and when?</i> )		
2	Has the organization implemented the procedure?		
3	Has the organization maintained the procedure? ( <i>Is there evidence of activity?</i> )		
4	Does the organization have access to the applicable legal and other requirements which relate to its environmental aspects? ( <i>How, how often?</i> )		
5	Does the organization have a procedure to determine how legal and other requirements apply to its environmental aspects?		
6	Did the organization ensure that legal and other requirements were taken into account when establishing its environmental management system?		
7	Does the organization ensure that legal and other requirements are taken into account in implementing its environmental management system?		
8	Does the organization ensure that legal and other requirements are taken into account when maintaining its environmental management system?		
	<i>Other requirements to which the organization subscribes.</i>		

**0** Total  
**8** Maximum Possible  
**0.00** Score  
 Percent Compliance With This Subsection Of The  
**0** Standard

**Subsection 4.3.3 Objectives, Targets and Programs  
Section 4.3 Planning**

<b>Auditor:</b>
<b>Subsection Assigned: 4.3.3 Obj., Targets and Programs</b>
<b>Date Assigned:</b>
<b>Date Due:</b>
<b>Actual Date Returned:</b>
<b>CAR(s) Issued:</b>

**Compliance Scoring**  
**1 = Meets Requirement**  
**0 = Does Not Meet Requirement**

Item	Element	Complies	Observations
1	Does the organization have a procedure to establish environmental objectives and targets? ( <i>What is the procedure, how does it work?</i> )		
2	Has the procedure been implemented?		
3	Are the objectives and targets documented?		
4	Is there evidence that the organization has maintained the environmental objectives and targets?		
5	Does the procedure take into account relevant functions and levels in the organization?		
6	Are the objectives and targets measurable where practicable?		
7	Are they consistent with the environmental policy (pollution prevention, regulatory compliance and continuous improvement)?		
8	When establishing or reviewing objectives and targets are legal and other requirements taken into account?		
9	Are significant aspects taken into account?		
10	Are technological options taken into account?		
11	Are financial considerations taken into account?		
12	Are operational and business requirements taken into account?		
13	Are the views of interested parties taken into account?		
14	Has the organization established programs for achieving its objectives and targets?		
15	Is there evidence that the programs are implemented?		
16	Is there evidence that the programs are maintained?		
17	Do the programs designate responsibility for achieving objectives and targets at relevant functions and levels within the organization?		
18	Do the programs define the means by which objectives and targets are to be achieved?		
19	Do the programs provide a time frame by which the objectives and targets are to be achieved?		
	<i>Other requirements to which the organization subscribes.</i>		

**0** Total  
**19** Maximum Possible  
**0.00** Score  
Percent Compliance With This Subsection Of The  
**0** Standard

**Subsection 4.4.1 Resources, Roles and Responsibilities**  
**Section 4.4 Implementation and Operation**

<b>Auditor:</b>
<b>Subsection Assigned: 4.4.1 Resources, Roles and Resp.</b>
<b>Date Assigned:</b>
<b>Date Due:</b>
<b>Actual Date Returned:</b>
<b>CAR(s) Issued:</b>

**Compliance Scoring**  
**1 = Meets Requirement**  
**0 = Does Not Meet Requirement**

Item	Element	Complies	Observations
1	Has management of the organization ensured availability of resources essential to establish, implement, maintain and improve the environmental management system? ( <i>How, is there evidence of this</i> )?		
2	Did they take into account human resources?		
3	Did they consider specialized skills?		
4	Did they consider the organizational infrastructure?		
5	Did they consider technology?		
6	Did they consider financial resources?		
7	Are roles, responsibilities and authorities defined?		
8	Are they documented?		
9	Are they communicated in order to facilitate effective environmental management?		
10	Has the organization's top management appointed a specific management representative for environmental management?		
11	Does this person have defined roles, responsibilities and authority to facilitate the environmental management system?		
12	Does this person ensure that the environmental management system is established, implemented and maintained in accord with the ISO14001 standard?		
13	Does this person report to top management in order to review the performance of the environmental management system?		
14	Does this person provide recommendations for improvement of the environmental management system to top management?		
	<i>Other requirements to which the organization subscribes.</i>		

**0** Total  
**14** Maximum Possible  
**0.00** Score  
 Percent Compliance With This Subsection Of The  
**0** Standard

OK

**Subsection 4.4.2 Competence, Training and Awareness**  
**Section 4.4 Implementation and Operation**

<b>Auditor:</b>
<b>Subsection Assigned: 4.4.2, Competence, Train. and Aware.</b>
<b>Date Assigned:</b>
<b>Date Due:</b>
<b>Actual Date Returned:</b>
<b>CAR(s) Issued:</b>

**Compliance Scoring**  
**1 = Meets Requirement**  
**0 = Does Not Meet Requirement**

Item	Element	Complies	Observations
1	Does the organization ensure that any persons performing tasks for it or on its behalf that may involve significant aspects are competent based upon appropriate education, training or experience? ( <b>How, when</b> )?		
2	Does it retain associated records documenting competence?		
3	Does it identify training needs associated with its environmental aspects?		
4	Does it identify training needs associated with its environmental management system?		
5	Does it provide training or take other action to meet both of these needs?		
6	Does the organization retain records that document that both of these needs are being met?		
7	Does the organization have a procedure to make persons working for it or on its behalf aware of the importance of the environmental policy? ( <b>Employees, vendors, contractors</b> )?		
8	Does the procedure address awareness of the requirements of the environmental management system?		
9	Does the procedure address awareness of the significant environmental aspects or potential/actual impacts associated with their work?		
10	Does the procedure address awareness of the environmental benefits of improved personal performance?		
11	Does the procedure address informing persons working for it on its behalf of their roles and responsibilities in achieving conformity with the requirements of the environmental management system?		
12	Does the procedure address the potential consequences of departure from specified procedures?		
13	Are these procedures implemented?		
14	Are these procedures maintained?		
	<i>Other requirements to which the organization subscribes.</i>		

**0** Total  
**14** Maximum Possible  
**0.00** Score  
Percent Compliance With This Subsection Of The  
**0** Standard

OK



**Subsection 4.4.3 Communication**  
**Section 4.4 Implementation and Operation**

<b>Auditor:</b>
<b>Subsection Assigned: 4.4.3 Communication</b>
<b>Date Assigned:</b>
<b>Date Due:</b>
<b>Actual Date Returned:</b>
<b>CAR(s) Issued:</b>

**Compliance Scoring**  
**1 = Meets Requirement**  
**0 = Does Not Meet Requirement**

Item	Element	Complies	Observations
1	Has the organization established a procedure for internal communication among the various levels and functions of the organization with regard to environmental aspects and the environmental management system? ( <i>How does it work, when do they use it?</i> )		
2	Has this procedure been implemented?		
3	Has this procedure been maintained?		
4	Does the organization have a procedure for receiving relevant communication from external interested parties?		
5	Does it include documenting and responding to external interested parties?		
6	Is it implemented?		
7	Is it maintained?		
8	Has the organization decided whether to communicate its significant environmental aspects to external interested parties?		
9	Has this decision been documented?		
10	If the organization has decided to communicate significant environmental aspects to external interested parties, have methods of communication been established?		
11	Have they been implemented?		
	<i>Other requirements to which the organization subscribes.</i>		

0 Total  
11 Maximum Possible  
0.00 Score  
Percent Compliance With This Subsection Of The  
0 Standard

OK

**Subsection 4.4.4 Documentation**  
**Section 4.4 Implementation and Operation**

<b>Auditor:</b>
<b>Subsection Assigned: 4.4.4 Documentation</b>
<b>Date Assigned:</b>
<b>Date Due:</b>
<b>Actual Date Returned:</b>
<b>CAR(s) Issued:</b>

**Compliance Scoring**  
**1 = Meets Requirement**  
**0 = Does Not Meet Requirement**

Item	Element	Complies	Observations
1	Is the environmental policy documented? ( <i>How, where</i> )?		
2	Are the objectives and targets documented?		
3	Is there a document that describes the scope of the environmental management system?		
4	Are there documented descriptions of the main elements of the environmental management system?		
5	Do the descriptions include a reference to related documents? ( <i>Check 10 of the main element procedures</i> ).		
6	Is there a document that describes the main elements of the environmental management system and their interaction?		
7	Does documentation include records required by the ISO14001 standard?		
8	Does documentation include records determined by the organization to be necessary to ensure effective planning, operation and control of processes that relate to the environmental management system?		
	<i>Other requirements to which the organization subscribes.</i>		

0 Total  
8 Maximum Possible  
0.00 Score  
Percent Compliance With This Subsection Of The  
0 Standard

OK

**Subsection 4.4.5 Control of Documents**  
**Section 4.4 Implementation and Operation**

<b>Auditor:</b>	
<b>Subsection Assigned:</b>	4.4.5 Control of Documents
<b>Date Assigned:</b>	
<b>Date Due:</b>	12/08/10
<b>Actual Date Returned:</b>	
<b>CAR(s) Issued:</b>	0

**Compliance Scoring**  
**1 = Meets Requirement**  
**0 = Does Not Meet Requirement**

Item	Element	Complies	Observations
1	Has the organization identified all of the documents required by the environmental management system?		
2	Are they controlled?		
3	Has the organization identified all of the documents required for compliance with the ISO14001 standard?		
4	Are they controlled?		
5	Are records controlled?		
6	Has the organization established procedures to approve documents for adequacy prior to use?		
7	Does the procedure include the review and update as necessary and re-approval of documents?		
8	Does the procedure ensure that changes and current revision status of documents are identified?		
9	Does the procedure ensure that relevant versions of applicable documents are available at points of use?		
10	Does the procedure ensure that documents remain legible and readily identifiable?		
11	Does the procedure ensure that documents of external origin determined to be necessary for planning and operation of the environmental management system are identified and their distribution controlled?		
12	Does the procedure prevent the unintended use of obsolete documents and apply suitable identification to them if they are retained for any purpose?		
13	Are these document control procedures implemented?		
14	Are these document control procedures maintained?		
	<i>Other requirements to which the organization subscribes.</i>		

0 Total  
14 Maximum Possible  
0.00 Score  
Percent Compliance With This Subsection Of The  
0 Standard

**Subsection 4.4.6 Operational Control  
Section 4.4 Implementation and Operation**

<b>Auditor:</b>
<b>Subsection Assigned: 4.4.6 Operational Control</b>
<b>Date Assigned:</b>
<b>Date Due:</b>
<b>Actual Date Returned:</b>
<b>CAR(s) Issued:</b>

**Compliance Scoring**  
**1 = Meets Requirement**  
**0 = Does Not Meet Requirement**

Item	Element	Complies	Observations
1	Has the organization identified those operations associated with significant environmental aspects, the environmental policy, objectives and targets?		
2	Has the organization planned those operations to ensure they are carried out under specified conditions? ( <b>How, when</b> )?		
3	Are there documented procedures to control situations where their absence could lead to deviation from the environmental policy, objectives and targets?		
4	Does the procedure stipulate the operating criteria for compliance with the environmental policy, objectives and targets?		
5	Has the procedure been implemented?		
6	Has the procedure been maintained?		
7	Is there a procedure to identify the significant environmental aspects of goods and services used by the organization?		
8	Does the procedure address communicating applicable procedures and requirements to suppliers and contractors?		
9	Has the procedure been implemented?		
10	Has the procedure been maintained?		
	<i>Other requirements to which the organization subscribes.</i>		

**0** Total  
**10** Maximum Possible  
**0.00** Score  
 Percent Compliance With This Subsection Of The  
**0** Standard

OK

**Subsection 4.4.7 Emergency Preparedness and Response  
Section 4.4 Implementation and Operation**

<b>Auditor:</b>
<b>Subsection Assigned: 4.4.7 Emergency Prepare. and Resp.</b>
<b>Date Assigned:</b>
<b>Date Due:</b>
<b>Actual Date Returned:</b>
<b>CAR(s) Issued:</b>

**Compliance Scoring**  
**1 = Meets Requirement**  
**0 = Does Not Meet Requirement**

Item	Element	Complies	Observations
1	Does the organization have a procedure to identify potential emergency situations and potential accidents that can have an impact on the environment? ( <b>How does it work, when is it used</b> )?		
2	Does the procedure address how the organization will respond to potential emergency situations and accidents?		
3	Has the organization implemented the procedure?		
4	Has the organization maintained the procedure?		
5	Does the organization respond to actual emergency situations and accidents and prevent or mitigate associated adverse environmental aspects?		
6	Does the organization periodically review and where necessary revise its emergency preparedness and response procedures?		
7	Does the organization review/revise its emergency preparedness and response procedures after the occurrence of accidents or emergency situations?		
8	Does the organization periodically test the procedure when practicable?		
	<i>Other requirements to which the organization subscribes.</i>		

**0** Total  
**8** Maximum Possible  
**0.00** Score  
Percent Compliance With This Subsection Of The  
**0** Standard

OK

**Subsection 4.5.1 Monitoring And Measurement  
Section 4.5 Checking**

<b>Auditor:</b>
<b>Subsection Assigned: 4.5.1 Monitoring and Measuring</b>
<b>Date Assigned:</b>
<b>Date Due:</b>
<b>Actual Date Returned:</b>
<b>CAR(s) Issued:</b>

**Compliance Scoring**  
**1 = Meets Requirement**  
**0 = Does Not Meet Requirement**

Item	Element	Complies	Observations
1	Has the organization established a procedure to regularly monitor and measure key characteristics of its operations that can have a significant environmental impact? <i>(How does it work, when is it used)?</i>		
2	Has the organization implemented the procedure?		
3	Has the organization maintained the procedure?		
4	Does the procedure include documenting of information to monitor performance?		
5	Does the procedure include applicable operational controls?		
6	Does the procedure confirm conformity with the organizations environmental objectives and targets?		
7	Does the organization ensure that calibrated or verified monitoring and measurement equipment are used and maintained?		
8	Does the organization retain associated calibration records?		
	<i>Other requirements to which the organization subscribes.</i>		

**0** Total  
**8** Maximum Possible  
**0.00** Score  
**0** Percent Compliance With This Subsection Of The Standard

**Subsection 4.5.2 Evaluation Of Compliance  
Section 4.5 Checking**

<b>Auditor:</b>
<b>Subsection Assigned:</b> 4.5.2 Evaluation Of Compliance
<b>Date Assigned:</b>
<b>Date Due:</b>
<b>Actual Date Returned:</b>
<b>CAR(s) Issued:</b>

**Compliance Scoring**  
**1 = Meets Requirement**  
**0 = Does Not Meet Requirement**

Item	Element	Complies	Observations
1	Has the organization established a procedure to periodically evaluate compliance with applicable legal requirements? <i>(How does it work, when)?</i>		
2	Has the organization implemented the procedure?		
3	Has the organization maintained the procedure?		
4	Does the organization keep records of the results of the periodic compliance evaluations with legal requirements?		
5	Does the organization evaluate compliance with other requirements to which it subscribes?		
6	Does the organization keep records of the results of the periodic compliance evaluations with other requirements to which it subscribes?		
	<i>Other requirements to which the organization subscribes.</i>	<b>0</b>	Total
		<b>6</b>	Maximum Possible
		<b>0.00</b>	Score
		<b>0</b>	The Standard

**0** Total  
**6** Maximum Possible  
**0.00** Score  
 Percent Compliance With This Subsection Of  
**0** The Standard

OK

**Subsection 4.5.3 Nonconformity, Corrective Action And Preventive Action  
Section 4.5 Checking**

<b>Auditor:</b>
<b>Subsection Assigned:</b> 4.5.3 Noncnfrm., Crrct./Prvnt. Act.
<b>Date Assigned:</b>
<b>Date Due:</b>
<b>Actual Date Returned:</b>
<b>CAR(s) Issued:</b>

**Compliance Scoring**  
**1 = Meets Requirement**  
**0 = Does Not Meet Requirement**

Item	Element	Complies	Observations
1	Does the organization have a procedure for dealing with actual and potential nonconformities? ( <i>How does it work, when do they use it?</i> )		
2	Does the procedure include taking corrective action and preventive action?		
3	Does the procedure include identifying and correcting nonconformities and taking action to reduce their environmental impact?		
4	Does the procedure include investigating nonconformities, determining their cause and taking action in order to avoid their recurrence?		
5	Does the procedure include evaluating the need for action to prevent nonconformities and implementing appropriate action designed to avoid their occurrence?		
6	Does the procedure include recording the results of corrective action and preventive action taken?		
7	Does the procedure include reviewing the effectiveness of corrective action and preventive action taken?		
8	Has the organization implemented the procedure?		
9	Has the organization maintained the procedure?		
10	Are the actions taken appropriate to the magnitude of the problems and the environmental impacts encountered?		
11	Are necessary changes to the documentation of the Environmental Management System completed?		
	<i>Other requirements to which the organization subscribes.</i>		

**0** Total  
**11** Maximum Possible  
**0.00** Score  
**0** Percent Compliance With This Subsection Of The Standard



**Subsection 4.5.4 Control Of Records**  
**Section 4.5 Checking**

<b>Auditor:</b>	
<b>Subsection Assigned:</b>	<b>4.5.4 Control Of Records</b>
<b>Date Assigned:</b>	
<b>Date Due:</b>	
<b>Actual Date Returned:</b>	
<b>CAR(s) Issued:</b>	<b>0</b>

**Compliance Scoring**  
**1 = Meets Requirement**  
**0 = Does Not Meet Requirement**

Item	Element	Complies	Observations
1	Has the organization established records as needed to demonstrate conformity with it's environmental management system?		
2	Has the organization established records as needed to demonstrate conformity with the ISO 14001 standard?		
3	Has the organization established records as needed to demonstrate conformity with the results achieved?		
4	Has the organization maintained the records?		
5	Has the organization established a procedure for the identification of records?		
6	Has the organization established a procedure for the storage and protection of records?		
7	Has the organization established a procedure for retrieval of records?		
8	Has the organization established a procedure for the retention of records?		
9	Has the organization established a procedure for the disposal of records?		
10	Has the organization implemented the procedures?		
11	Has the organization maintained the procedures?		
12	Are the records legible?		
13	Are the records identifiable and traceable?		
	<i>Other requirements to which the organization subscribes.</i>		

**0** Total  
**13** Maximum Possible  
**0.00** Score  
Percent Compliance With This Subsection Of The  
**0** Standard

**Subsection 4.5.5 Internal Audit  
Section 4.5 Checking**

Auditor:	
Subsection Assigned:	4.5.5 Internal Audit.
Date Assigned:	
Date Due:	
Actual Date Returned:	
CAR(s) Issued:	0

**Compliance Scoring**  
**1 = Meets Requirement**  
**0 = Does Not Meet Requirement**

Item	Element	Complies	Observations
1	Does the organization have an internal audit procedure? <i>(How does it work)?</i>		
2	Are internal audits conducted at planned intervals?		
3	Does the internal audit procedure determine whether the environmental management system conforms to planned arrangements?		
4	Does the internal audit procedure determine whether the environmental management system conforms to the ISO 14001 standard?		
5	Does the internal audit procedure determine whether the environmental management system has been properly implemented and maintained?		
6	Does the internal audit procedure provide information on the results of audits to management?		
7	Does the internal audit procedure address responsibilities and requirements for planning and conducting audits?		
8	Does the internal audit procedure address selection and training of auditors?		
9	Does the internal audit procedure address retraining associated audit records?		
10	Does the internal audit procedure address the determination of audit criteria and scope?		
11	Does the internal audit procedure address the frequency and methods of auditing?		
12	Does the internal audit procedure ensure the selection of auditors maintains objectivity and impartiality of the audit process?		
13	Has the internal audit procedure been implemented by the organization?		
14	Has the internal audit procedure been maintained by the organization?		
	<i>Other requirements to which the organization subscribes.</i>		

0 Total  
14 Maximum Possible  
0.00 Score  
Percent Compliance With This Subsection Of The  
0 Standard

**Subsection 4.6 Management Review**  
**Section 4.6 Management Review**

Auditor:	
Subsection Assigned:	4.6 Management Review
Date Assigned:	
Date Due:	
Actual Date Returned:	
CAR(s) Issued:	0

**Compliance Scoring**  
**1 = Meets Requirement**  
**0 = Does Not Meet Requirement**

Item	Element	Complies	Observations
1	Does top management review the organization's environmental management system at planned intervals to ensure its continuing suitability, adequacy and effectiveness? ( <i>How often</i> )?		
2	Does the review include assessing opportunities for improvement and the need for changes to the EMS such as the Policy and Objectives & Targets?		
3	Are records of the management reviews retained?		
4	Does the procedure for management reviews include input such as results of internal audits?		
5	Does the procedure for management reviews include evaluation of compliance with legal and other requirements the organization subscribes to?		
6	Does the procedure for management reviews include input such as communication from external interested parties including complaints?		
7	Does the procedure for management reviews include input such as the environmental performance of the organization?		
8	Does the procedure for management reviews include input such as the extent to which objectives and targets have been met?		
9	Does the procedure for management reviews include input such as the status of corrective and preventive actions?		
10	Does the procedure for management reviews include input such as follow up actions from previous management reviews?		
11	Does the procedure for management reviews include input such as changing circumstances including developments in legal and other requirements related to the organizations environmental aspects?		
12	Does the procedure for management reviews include input such as recommendations for improvement?		
13	Do the outputs from management reviews include decisions and actions related to possible changes to the environmental policy, objectives, targets and other elements of the environmental management system consistent with the commitment to continual improvement?		
	<i>Other requirements to which the organization subscribes.</i>		

0 Total  
13 Maximum Possible  
0.00 Score  
Percent Compliance With This Subsection Of The  
0 Standard

OK