ISO 14001 Self-Assessment Checklist for SMEs

A structured, business-friendly approach to evaluating your Environmental Management System (EMS) readiness.

1 COMPANY RELATED INFORMATION	YES	NO	DOCUMENT / INFORMATION REFERENCE
Have we identified internal and external factors that influence our environmental outcomes?			
Are these factors reviewed and updated regularly?			
Have you determined the interested parties that are relevant to the environmental management system?			
Have we defined which stakeholder expectations become legal or compliance obligations?			
Is the EMS scope clearly defined based on our operations, risks, and control boundaries?			
Has the scope of the EMS been determined taking into account the external and internal issues, compliance obligations, organisational units, functions and physical boundaries, products and services and authority and ability to exercise control and influence?			
Have we documented the EMS scope and made it accessible to relevant stakeholders?			

1.1 ENVIRONMENTAL MANAGEMENT SYSTEM			
Is our EMS fully implemented, covering all essential processes and interactions? Is it designed for and committed to ongoing improvement?	○	○	

2 LEADERSHIP	YES	NO	DOCUMENT / INFORMATION REFERENCE
Is top management accountable for EMS effectiveness and performance?	○	○	
Are our environmental goals aligned with business strategy and context?	○	○	
Have EMS requirements been embedded into how we run our business?	○	○	
Are sufficient resources allocated to ensure the EMS works?	○	○	
Is leadership actively encouraging and supporting employees to make EMS successful?	○	○	
Does management foster a culture of continual improvement?	○	○	

2.1 ENVIRONMENTAL POLICY			
Do we have an environmental policy that is established, implemented, and actively used?	◯	◯	
Is our policy relevant to our business, and does it guide our environmental goals?	◯	◯	
Does it commit us to environmental protection, pollution prevention, and legal compliance?	◯	◯	
Does it clearly support continuous improvement?	◯	◯	
Is it documented, accessible, and effectively communicated?	◯	◯	
Is the environmental policy maintained as documented information, communicated within the organisation and available to interested parties upon request?	◯	◯	
2.2 ORGANISATIONAL ROLES, RESPONSIBILITIES AND AUTHORITIES			
Are roles and responsibilities for EMS clearly defined and communicated?	◯	◯	
Has leadership assigned accountability for EMS compliance and reporting?	◯	◯	
Is there clarity on who tracks and reports our environmental performance?	◯	◯	

3 PLANNING & 6.1 ACTIONS TO ADDRESS RISKS AND OPPORTUNITIES	YES	NO	DOCUMENT / INFORMATION REFERENCE
Have risks and opportunities related to environmental aspects and compliance been identified?	○	○	
Are these risks documented and regularly reviewed?	○	○	
Have the processes needed been documented so there is confidence that they are carried out?	○	○	
Have abnormal or emergency situations been considered in your planning?	○	○	
When determining the above environmental aspects, has the organisation taken into account: • Change, including planned or new developments, and new or modified activities, products and services; Abnormal conditions and reasonably foreseeable • emergency situations?	○	○	
Has the organisation determined those aspects which can have a significant environmental impact by using established criteria? Are the criteria used and the aspects deemed to be significant, documented?	○	○	

Has the organisation communicated its significant environmental aspects among the various functions and levels of the organisation?	○	○	
Has the organisation determined and have access to compliance obligations related to its environmental aspects?	○	○	
Has the organisation determined how these apply to its activities, products or services?	○	○	
Has the organisation taken these compliance obligations into account when establishing implementing, maintaining and continually improving its EMS?	○	○	
Has the organisation maintained documented information of its compliance obligations?	○	○	
Has the organisation planned: • To take action to address its significant environmental aspects, compliance obligations and risks and opportunities? How to integrate and implement actions into • its EMS processes and evaluate the effectiveness of the action taken?	○	○	

3.1 ENVIRONMENTAL OBJECTIVES & PLANNING TO ACHIEVE THEM			
Are measurable environmental objectives set at relevant levels?	○	○	
Do these objectives consider significant aspects, compliance needs, and business risks?	○	○	
Are they aligned with your strategy and context?	○	○	
Are they monitored, updated, and documented?	○	○	
Has the organisation maintained documented information on its objectives?	○	○	
To achieve its environmental objectives, has the orga- nization determined what will be done, what resources will be required, who will be responsible, when it will be completed and how the results will be evaluated?	○	○	

4 SUPPORT	YES	NO	DOCUMENT / INFORMATION REFERENCE
Are all relevant personnel competent through education, training, or experience?	○	○	
Are training needs identified and addressed?	○	○	

Is competence documented?	○	○	
Does the organisation retain documented information as evidence of competence?	○	○	
Are personnel aware of the environmental policy, the significant environmental aspects and impacts associated with their work?	○	○	
Are personnel aware of their contribution to the effectiveness of the environmental management system, including benefits of enhanced environmental performance?	○	○	
Are personnel aware of the implications of not conforming to the EMS requirements including not fulfilling the organisation's compliance obligations?	○	○	
Has the organization established, implemented pro- cess(es) for internal and external communications relevant to the EMS?	○	○	
Does the communication process include what to communicate, when to communicate, with whom to communicate and how to communicate?	○	○	
Does the communication process takes into account compliance obligations?	○	○	
Has the organisation maintained documented information on its communications?	○	○	
Does the communication process enable employees or externals to contribute to continual improvement?	○	○	
Does the organization communicate externally information relevant to EMS, as established by its communication process and as required by its compliance obligations?	○	○	

4.1 DOCUMENTED INFORMATION			
Are procedures in place to create, update, and control EMS documents?	◯	◯	
Are essential external documents identified and controlled?	◯	◯	

5. OPERATIONAL PLANNING AND CONTROL	YES	NO	DOCUMENT / INFORMATION REFERENCE
Are operations planned and controlled to meet EMS requirements and goals?	◯	◯	
Are changes managed and their impacts assessed?	◯	◯	
Are outsourced processes effectively controlled?	◯	◯	
Are environmental requirements applied to design, procurement, and contractors?	◯	◯	
Are downstream environmental impacts (e.g. transport, disposal) considered?	◯	◯	
Is documentation maintained to show that processes are implemented correctly?	◯	◯	

Consistent with a life cycle perspective, does the organisation consider the need to provide information about potential significant environmental impacts associated with the transportation or delivery, use, end-of-life treatment and final disposal of its products and services.	○	○	
Is relevant documented information maintained to the extent necessary to give confidence that the processes have been carried out as planned?	○	○	

5.1 EMERGENCY PREPAREDNESS AND RESPONSE			
Is there a defined procedure for responding to environmental emergencies?	○	○	
Are actions taken to reduce impacts from such emergencies? Are stakeholders informed as needed?	○	○	
Is evidence retained to confirm plans are executed?	○	○	

6. MONITORING, MEASUREMENT, ANALYSIS AND EVALUATION	**YES**	**NO**	**DOCUMENT / INFORMATION REFERENCE**
Is environmental performance regularly monitored and analysed?	○	○	
Are the methods and criteria for measurement clearly defined?	○	○	
Is the timing for monitoring and analysis established?	○	○	

Is equipment calibrated and appropriate for use?	○	○	
Is monitoring data documented?	○	○	
Are compliance obligations regularly reviewed?	○	○	
Does the organisation retain documented information as evidence of the monitoring, measurement, analysis and evaluation results?	○	○	
6.1 INTERNAL AUDIT			
Are internal audits scheduled and conducted impartially?	○	○	
Is there an audit programme with frequency, methods, and scope defined?	○	○	
Are findings reported to management?	○	○	
Is documentation of audits maintained?	○	○	
Are results of the audits reported to relevant management?	○	○	
Does the organisation retain documented information as evidence of the implementation of the audit programme and the audit results?	○	○	

6.2 MANAGEMENT REVIEW			
Are management reviews held at planned intervals and are results of the review retained as documented information as evidence?	○	○	
Does the review include the following: a. External & internal issues that are relevant to the b. organisation's EMS; Needs and expectations of interested c. parties, compliance obligations; Its significant d. environmental aspects; Risks and opportunities; e. Nonconformities and corrective actions; f. Monitoring and measurement; g. Fulfilment of its compliance obligations; h. Audit results; Adequacy of resources; Relevant i. communication from interested parties, including j. complaints; Opportunities for continual improvement; k. Status of actions of previous management review meeting l.	○	○	

7. IMPROVEMENT	YES	NO	DOCUMENT / INFORMATION REFERENCE
Are opportunities for EMS improvement identified and pursued?	○	○	
Are nonconformities managed and corrected?	○	○	
Are root causes determined and corrective actions implemented?	○	○	
Are these actions evaluated for effectiveness?	○	○	

Is everything documented?	◯	◯	
Is the EMS continuously improved for effectiveness and performance?	◯	◯	

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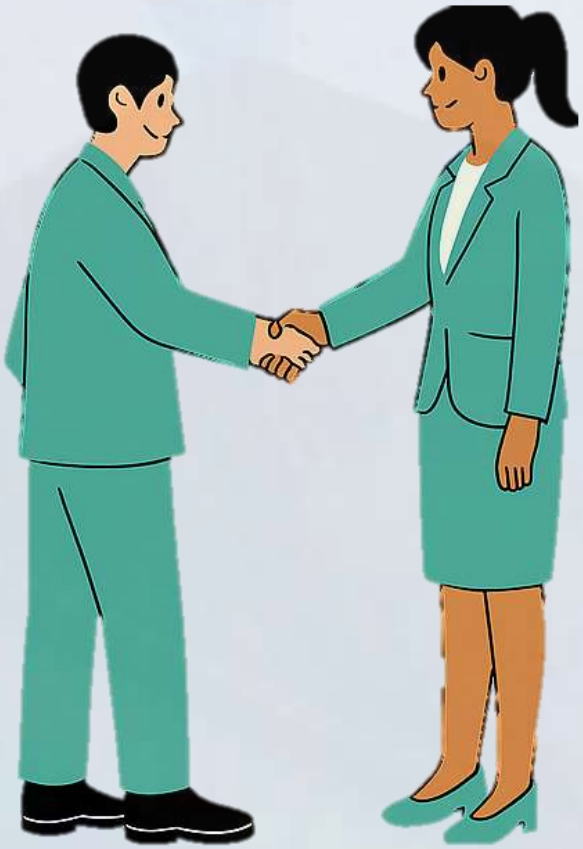
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