



SRI LANKA STANDARDS INSTITUTION

**ISO 14001:2015 ENVIRONMENTAL MANAGEMENT SYSTEM CERTIFICATION
SCHEME**

PRE-ASSESSMENT QUESTIONNAIRE

INSTRUCTIONS

- (1) The SLSI will ensure the confidentiality of all the information furnished by the applicant in this questionnaire. This information is only disclosed to the designated assessors who are required to sign a confidentiality agreement. The names of these assessors and a copy of their confidentiality agreement will be sent to the applicant prior to assessment.
- (2) Please tick (✓) the relevant box given under each question.
- (3) Upon completion of the questionnaire, it shall be returned to the Systems Certification Division of the Sri Lanka Standards Institution with the documented information maintained by the organization.

FOR COMPLETING THE QUESTIONNAIRE

- A separate questionnaire shall be completed for each location for which certification is required.
- It is not necessary to repeat information in detail if it is contained in the applicant's Environmental documentation but reference to the documentation must be made.
- The SLSI will ensure the confidentiality of all the information furnished by the applicant in this questionnaire. This information is only disclosed to the designated assessors who are required to sign a confidentiality agreement.
- Please tick the relevant box given under sub clause 1.3 and clauses from 2 to 9.
- If the space provided is not adequate, please attach an extra sheet.
- The completed questionnaire shall be returned to the Director, Systems Certification, SLSI with supplementary information if any.

PRE-ASSESSMENT QUESTIONNAIRE

1.0 COMPANY PROFILE

1.1 Name of the Applicant:

.....
.....

1.2 Scope of EMS certification:

.....
.....
.....

1.3 Does your company hold QMS/OHSAS/ISO 22000/HACCP/GMP Systems Certification? Yes/NO
(if yes, Please specify standard, scope of certification)

ISO 9001

OHSAS 18001

ISO 22000/HACCP

GMP

Scope of certification for ISO 9001:

.....
.....

Scope of certification for OHSAS 18001:

.....
.....

Scope of certification for ISO 22000/HACCP/ GMP

.....
.....

Any other (please specify):

.....
.....

1.2 GENERAL

1.2.1 Organization

Please attach an organization chart of the company and mention the activity/activities including name(s) of management.

1.2.2 Number of employees

a. Total:

b. Management level:

c. Operational level involved in Environmental Management :

.....

1.2.3 Liaison officer

a. Nominee

Name: Designation:

Telephone Number: Facsimile No.:

e-mail:

b. Deputy :

Name : Designation :

Telephone Number : Facsimile No.:

e-mail :

1.2.4 WORKING HOURS

a. From to

b. From to

c. From to

1.3 ENVIRONMENTAL ACTIVITIES & LEGAL COMPLIANCE

1.3.1 Environmental aspects and impacts of any activities, products and services (Please arrange in significant order). Indicate the sites/locations where such activities performed /products and services provided.

.....
.....
.....
.....
.....
.....

1.3.2 The management of aspects and impacts of the activities, products and services (Please attach a brief process flow chart)

.....
.....
.....

1.3.3 Environmental regulations involved

.....
.....
.....

1.3.4 Is Environmental Protection License (EPL) available (Please indicate the validity period and attach a copy of EPL)

.....
.....
.....

1.3.5 Environmental regulations related to activities, products and services.

(Please specify the legal requirements and activities, products and services involved).

.....
.....
.....



2.0 Context of the organization

2.1 Understanding the organization and its context

- | | Yes | No |
|---|--------------------------|--------------------------|
| a. Has the organization determined the external and internal issues that are relevant to its purpose and that affect its ability to achieve the intended outcomes of its environmental management system? | <input type="checkbox"/> | <input type="checkbox"/> |
| b. Has such issues include the environmental conditions being affected by or capable of affecting the organization ? | <input type="checkbox"/> | <input type="checkbox"/> |

2.2 Understanding the needs and expectations of interested parties

2.2.1 Has the organization determined the following?

- | | Yes | No |
|---|--------------------------|--------------------------|
| a. the interested parties that are relevant to the environmental management system. | <input type="checkbox"/> | <input type="checkbox"/> |
| b. the relevant needs and expectations(requirements) of these interested parties . | <input type="checkbox"/> | <input type="checkbox"/> |
| c. Which of these needs and expectations become its compliance obligations? | <input type="checkbox"/> | <input type="checkbox"/> |

2.3 Determining the scope of the environmental management system

- | | Yes | No |
|---|--------------------------|--------------------------|
| 2.3.1 Has the organization determined the boundaries and applicability of the environmental management system to establish its scope? | <input type="checkbox"/> | <input type="checkbox"/> |
| 2.3.2 When determining this scope, has the organization considered the following? | | |
| a. the external and internal issues referred to in Clause 4.1 of the ISO 14001 : 2015 Standard. | <input type="checkbox"/> | <input type="checkbox"/> |
| b. the compliance obligations referred to in Clause 4.2 of the ISO 14001 : 2015 Standard. | <input type="checkbox"/> | <input type="checkbox"/> |
| c. its organizational units, functions and physical boundaries. | <input type="checkbox"/> | <input type="checkbox"/> |
| d. its activities , products and services. | <input type="checkbox"/> | <input type="checkbox"/> |
| e. Its authority and ability to exercise control and influence. | <input type="checkbox"/> | <input type="checkbox"/> |

2.3.3 Does all activities, products and services of organization included in the scope of its environmental management system?

2.3.4 Is the scope of the organization's environmental management system, and is it maintained as documented information and be available to interested parties?

2.4 Environmental management system

Yes No

2.4.1 Has the organization established, implemented, maintained and continually improved the environmental management system, including the processes needed and their interactions, in accordance with the requirements of the ISO 14001 : 2015 Standard to achieve intended outcomes including enhancing environmental performance?

2.4.2 Has the organization considered the knowledge gained in understanding the organization and its context (4.1) and understanding the needs and expectations of interested parties (4.2) when establishing the environmental management system?

3.0 Leadership

3.1 Leadership and commitment

Has the top management demonstrated leadership and commitment with respect to the environmental management system by :

Yes No

a. taking accountability for the effectiveness of the environmental management system?

b. ensuring that the environmental policy and environmental objectives are established and are compatible with the context and strategic direction and the context of the organization?

c. ensuring the integration of the environmental management system requirements into the organization's business processes?

d. ensuring that the resources needed for the environmental management system are available?

e. communicating the importance of effective environmental management and of conforming to the environmental management system requirements?

- | | | |
|---|--------------------------|--------------------------|
| f. ensuring that the environmental management system achieves its intended outcomes? | <input type="checkbox"/> | <input type="checkbox"/> |
| g. directing and supporting persons to contribute to the effectiveness of the environmental management system? | <input type="checkbox"/> | <input type="checkbox"/> |
| h. promoting improvement? | <input type="checkbox"/> | <input type="checkbox"/> |
| i. supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility? | <input type="checkbox"/> | <input type="checkbox"/> |

3.2 Environmental Policy

Has the top management established, implemented and maintained an environmental policy that within the defined scope of environmental management system:

- | | Yes | No |
|--|--------------------------|--------------------------|
| a. is appropriate to the purpose and context of the organization, including the nature ,scale and environmental impacts of its activities ,products and services? | <input type="checkbox"/> | <input type="checkbox"/> |
| b. provides a framework for setting environmental objectives? | <input type="checkbox"/> | <input type="checkbox"/> |
| c. includes a commitment(s) to the protection of the environment, including prevention of pollution and other specific commitment to the relevant to the context of the organization : | <input type="checkbox"/> | <input type="checkbox"/> |
| d. includes a commitment to fulfill its compliance obligations: | <input type="checkbox"/> | <input type="checkbox"/> |
| e. includes a commitment to continual improvement of the environmental management system to enhance environmental performance? | <input type="checkbox"/> | <input type="checkbox"/> |

Is the environmental policy :

- | | | |
|--|--------------------------|--------------------------|
| a. maintained as documented information? | <input type="checkbox"/> | <input type="checkbox"/> |
| b. communicated within the organization? | <input type="checkbox"/> | <input type="checkbox"/> |
| c. made available to interested parties? | <input type="checkbox"/> | <input type="checkbox"/> |

3.3 Organizational roles, responsibilities and authorities

- | | Yes | No |
|--|--------------------------|--------------------------|
| 3.3.1 Has the top management ensured that the responsibilities and authorities for relevant roles are assigned and communicated within the organization? | <input type="checkbox"/> | <input type="checkbox"/> |

3.3.2 Has the top management assigned the responsibility and authority for :

a. ensuring that the environmental management system conforms to the requirements of the ISO 14001 : 2015 Standard?

b. reporting on the performance of the environmental management system, including environmental performance ,to top management?

4.0 Planning

4.1 Actions to address risks and opportunities

4.1.1 General

4.1.2 Has the organization established, implemented and maintained The process(es) needed to meet the requirements in 6.1.1 to 6.1.4 of the ISO 14001 : 2015 Standard?

4.1.3 When planning for the environmental management system, has the organization considered

a. the issues referred to in Clause 4.1

b. the requirements referred to in 4.2

c. the scope of environmental management system

d. and determined the risks and opportunities related to its environmental aspects (6.1.2) and compliance obligations(6.1.3)and other issues and requirements identified in 4.1and 4.2 of the ISO 14001 : 2015 Standard that need to be addressed to:

Yes No

a. give assurance that the environmental management system can achieve its intended outcomes?

b. prevent or reduce undesired effects, including the potential for external environmental conditions to affect the organization?

c. achieve continual improvement?

4.1.4 Within the scope of the environmental management system, has the organization determined potential emergency situations, including those that can have an environmental impact?

4.1.5 Has the organization maintained documented information of its

a. risks and opportunities that need to be addressed?

- b. Process(es) needed in 6.1.1 to 6.1.4 to the extent necessary have confidence they are carried out as planned?

4.2 Environmental Aspects

4.2.1 Within the defined scope of the environmental management system, has the organization determined environmental aspects of its activities, products and services that it can control and those that it can influence, and their associated environmental impacts, considering a life cycle perspective?

4.2.2 When determining environmental aspects, Has the organization taken into account

a. Change, including planned or new developments, and New or modified activities, products and services:

b. Abnormal conditions and reasonably foreseeable Emergency situations?

4.2.3 Has the organization established criteria to determine significant environmental aspects ?

4.2.4 Has the organization determined those aspects that have or can Have a significant environmental impact by using established criteria ?

4.2.5 Does the organization communicate its significant environmentalAspects among various levels and functions of the organizations appropriate?

4.2.6 Has the organization maintained documented information of its:

a. environmental aspects and associated environmental impacts;

b. criteria used to determine its significant environmental aspects ;

c. significant environmental aspects

4.3 Compliance obligations

4.3.1 Has the organization

a. Determine and have accesses to the compliance obligations related to its environmental aspects;

b. Determine how these compliance obligations apply to the organization;

c. Take these compliance obligations into account when establishing, implementing, maintaining and continually improving its environmental management system

4.3.2 Has the organization maintained documented information Of its compliance obligations?

4.4 Planning action

4.4.1 Has the organization plan to take actions to address its:

1. significant environmental aspects;

2. compliance obligations;

3. risks and opportunities identified in 6.1.1;

4.4.2 How to

1. integrate and implement the actions into its environmental management system processes (clauses 6.2,7,8 and 9.1 or other business processes;

2. evaluate the effectiveness of these actions.

4.4.3 Has the organization consider its technological options and its financial operational and business requirements when planning these actions?

4.5 Environmental objectives and planning to achieve them Environmental objectives

Yes No

4.5.1 Has the organization established environmental objectives at relevant functions and levels ,taking into account the organization's significant environmental aspects and associated compliance obligations, and considering its risks and opportunities?

4.5.2 Are the environmental objectives :

a. Consistent with the environmental policy?

b. measurable?(if practicable)

c. monitored?

d. communicated?

e. updated as appropriate?

4.5.3 Has the organization maintained documented information on the environmental objectives?

4.6 Planning to achieve Environmental objectives

4.6.1 When planning how to achieve its environmental objectives, has the organization determined :

a. what will be done?

b. what resources will be required?

c. who will be responsible?

d. when it will be completed?

e. how the results will be evaluated including indicators for monitoring progress toward achievement of its measurable environmental objectives (9.1.1)?

4.6.2 Has the organization considered how actions to achieve its environmental objectives can be integrated into the organization's business processes.

5 Support

5.1 Resources

5.1.1 General

Has the organization determined and provided the resources needed for the establishment, implementation, maintenance and continual improvement of the environmental management system,

5.2 Competence

Has the organization :

- | | Yes | No |
|--|--------------------------|--------------------------|
| a. determined the necessary competence of person(s) doing work under its control that affects its environmental performance and its ability to fulfill its compliance obligations? | <input type="checkbox"/> | <input type="checkbox"/> |
| b. ensured that these persons are competent on the basis of appropriate education, training, or experience? | <input type="checkbox"/> | <input type="checkbox"/> |
| c. determined training needs associated with its environmental aspects and its environmental management system? | <input type="checkbox"/> | <input type="checkbox"/> |
| d. where applicable, taken actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken? | <input type="checkbox"/> | <input type="checkbox"/> |
| e. retained appropriate documented information as evidence of competence? | <input type="checkbox"/> | <input type="checkbox"/> |

5.3 Awareness

Has the organization ensured that persons doing work under the organization's control are aware of :

- | | Yes | No |
|--|--------------------------|--------------------------|
| a. the environmental policy? | <input type="checkbox"/> | <input type="checkbox"/> |
| b. the significant environmental aspects and related actual or potential environmental impacts associated with their work? | <input type="checkbox"/> | <input type="checkbox"/> |

- c. their contribution to the effectiveness of the environmental management system, including the benefits of enhanced environmental performance?
- d. the implications of not conforming with the environmental management system requirements, including not fulfilling the organization's compliance obligations?

5.4 Communication

Has the organization established, implemented and maintained the processes needed for internal and external communications relevant to the environmental management system, including :

- | | Yes | No |
|---------------------------------|--------------------------|--------------------------|
| a. on what it will communicate? | <input type="checkbox"/> | <input type="checkbox"/> |
| b. when to communicate? | <input type="checkbox"/> | <input type="checkbox"/> |
| c. with whom to communicate? | <input type="checkbox"/> | <input type="checkbox"/> |
| d. how to communicate? | <input type="checkbox"/> | <input type="checkbox"/> |

When establishing its communication process(es), has the organization

- | | | |
|--|--------------------------|--------------------------|
| a. Take into account its compliance obligations; | <input type="checkbox"/> | <input type="checkbox"/> |
| b. Ensure that environmental information communicated is consistent with information generated within the environmental management system, and is reliable . | <input type="checkbox"/> | <input type="checkbox"/> |

Has the organization respond to relevant communications on its environmental management system ?

<input type="checkbox"/>	<input type="checkbox"/>
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Has the organization retained documented information as evidence of its communications, as appropriate.

<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------

Internal communication

Has the organization

- | | | |
|--|--------------------------|--------------------------|
| a. Internally communicated information relevant to the environmental management system among the various levels and functions of the organization, including changes to the environmental management system, as appropriate; | <input type="checkbox"/> | <input type="checkbox"/> |
| b. Ensured its communication process(es) enables persons doing work under the organization's control to contribute to continual improvement. | <input type="checkbox"/> | <input type="checkbox"/> |

External communication

Does the organization externally communicated information relevant to the environmental management system, as established by the organization's communication process(es) and as required by its compliance obligations?

<input type="checkbox"/>	<input type="checkbox"/>
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5.5 Documented information

5.5.1 General

Does the organization's environmental management system include :

- | | Yes | No |
|---|--------------------------|--------------------------|
| a. documented information required by this International Standard? | <input type="checkbox"/> | <input type="checkbox"/> |
| b. documented information determined by the organization as being necessary for the effectiveness of the environmental management system? | <input type="checkbox"/> | <input type="checkbox"/> |

5.5.2 Creating and updating

When creating and updating documented information, has the organization ensured appropriate :

- | | | |
|---|--------------------------|--------------------------|
| a. identification and description (e.g. a title, date, author, or reference number)? | <input type="checkbox"/> | <input type="checkbox"/> |
| b. format (e.g. language, software version, graphics) and media (e.g. paper, electronic)? | <input type="checkbox"/> | <input type="checkbox"/> |
| c. review and approval for suitability and adequacy? | <input type="checkbox"/> | <input type="checkbox"/> |

5.5.3 Control of documented information

5.5.3.1 Has the documented information required by the environmental management system and by the ISO 14001 : 2015 Standard been controlled to ensure :

- | | | |
|--|--------------------------|--------------------------|
| a. it is available and suitable for use, where and when it is needed? | <input type="checkbox"/> | <input type="checkbox"/> |
| b. it is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity)? | <input type="checkbox"/> | <input type="checkbox"/> |

5.5.3.2 For the control of documented information, has the organization addressed the following activities, as applicable?

- | | | |
|---|--------------------------|--------------------------|
| a. distribution, access, retrieval and use ; | <input type="checkbox"/> | <input type="checkbox"/> |
| b. storage and preservation, including preservation of legibility ; | <input type="checkbox"/> | <input type="checkbox"/> |
| c. control of changes (e.g. version control) ; | <input type="checkbox"/> | <input type="checkbox"/> |

d. retention and disposition.

Has the documented information of external origin determined by the organization to be necessary for the planning and operation of the environmental management system been identified as appropriate, and controlled?

<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------

6.0 Operation

6.1 Operational planning and control

Has the organization established , implemented , controlled and maintained the processes needed to meet environmental management system requirements, and to implement the actions identified in Clause 6 of the ISO 14001 : 2015 Standard), by :

a. establishing operating criteria for the processes?

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

b. Implementing control of the processes, in accordance with the operating criteria?

<input type="checkbox"/>	<input type="checkbox"/>
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Has the organization controlled the planned changes and reviewed the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary?

<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------

Has the organization ensured that outsourced processes are controlled or influenced?

<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------

Has the organization ensured that type and extent of control or influence to be applied to the processes defined within the environmental management system?

<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------

Consistent with a life cycle perspective, has the organization,

a. Established controls, as appropriate, to ensure that its environmental requirement(s) is (are) addressed in the design and development process for the product or service, considering each life cycle stage?

<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------

b. Determined its environmental requirement(s) for the procurement of products and services as appropriate?

<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------

c. Communicated its relevant environmental requirement(s) to external providers, including contractors?

<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------

d. Considered 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?

<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------

Has the organization maintained documented information to the extent necessary to have confidence that the processes have been carried out as planned?

<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------

6.2 Emergency preparedness and response

Has the organization established implemented and maintained the process(es) needed to prepare for and respond to potential emergency situations identified in 6.1.1?

Has the organization:

a. Prepared to respond by planning actions to prevent or mitigate adverse environmental impacts from emergency situations?

b. Responded to actual emergency situations?

c. Taken action to prevent or mitigate the consequences of emergency situations, appropriate to the magnitude of the emergency and the potential impact?

d. Periodically test the planned response actions, where Practicable?

e. Periodically review and revise the process(es) and Planned response actions , in particular after the occurrence of emergency situations or tests?

f. Provided relevant information and training related to emergency preparedness and response ,as appropriate, to relevant interested parties, including persons working under control?

Has the organization maintained documented information to the extent necessary to have confidence that the process(es) is (are) carried out as planned?

7.0 Performance evaluation

7.1 Monitoring, measurement, analysis and evaluation

7.1.1 General

Yes No

Has the organization monitored ,measured, analysed and evaluate its environmental performance?

Has the organization determined

a. what needs to be monitored and measured?

- b. the methods for monitoring, measurement, analysis and evaluation , as applicable, to ensure valid results?
 - c. The criteria against which the organization will evaluate its environmental performance , and appropriate indicators?
 - d. when the monitoring and measuring shall be performed?
 - e. when the results from monitoring and measurement shall be analysed and evaluated?
- Has the organization ensured that calibrated or verified monitoring and measurement equipment is used and maintained, as appropriate?
- Has the organization evaluated the environmental performance and the effectiveness of the environmental management system?
- Has the organization communicated relevant environmental performance information both internally and externally, as identified in its communication process(es) and as required by its compliance obligations?
- Has the organization retained appropriate documented information as evidence of the monitoring, measurement, analysis and evaluation results?

7.1.2 Evaluation of compliance

- Has the organization established ,implemented and maintained the process(es) needed to evaluate fulfillment of its compliance obligations?
- Has the organization
- a. determined the frequency that compliance will be evaluated?
 - b. Evaluated compliance and take action if needed?
 - c. Maintained knowledge and understanding of its compliance status?
- Has the organization retained documented information as evidence of the compliance evaluation result(s)?

7.2 Internal audit

7.2.1 Does the organization conduct internal audits at planned intervals to provide information on whether the environmental management system :

a. conforms to :

Yes No

1. the organization's own requirements for its environmental management system?
2. the requirements of this International Standard?

b. is effectively implemented and maintained?

8 Internal audit programme

8.1.1 Has the organization :

a. established, implemented and maintained an internal audit programme(s) including the frequency, methods, responsibilities, planning requirements and reporting, of its internal audits?

b. When establishing the internal audit programme ,the organization shall take into consideration the environmental importance of the processes concerned, changes affecting the organization, and the results of previous audits?

Has the organization

a. defined the audit criteria and scope for each audit?

c. selected auditors and conducted audits to ensure objectivity and the impartiality of the audit process?

d. ensured that the results of the audits are reported to relevant management?

e. retained documented information as evidence of the implementation of the audit programme and the audit results?

8.2 Management review

8.2.1 General

Yes No

Does the top management review the organization's environmental management system, at planned intervals, to ensure its continuing suitability, adequacy, effectiveness ?

Is the management review include consideration of:

a. the status of actions from previous management reviews?

b. Changes in
1. external and internal issues that are relevant to the environmental management system;

2. the needs and expectations of interested parties, including compliance obligations;

- | | | |
|--|--------------------------|--------------------------|
| 3. its significant environmental aspects; | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. risks and opportunities; | <input type="checkbox"/> | <input type="checkbox"/> |
| c. the extent to which environmental objectives have been achieved? | <input type="checkbox"/> | <input type="checkbox"/> |
| d. Information on the organization's environmental performance , including trends in | | |
| 1. nonconformance and corrective actions;? | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Monitoring and measurement results? | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Fulfilment of its compliance obligations? | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. Audit results? | <input type="checkbox"/> | <input type="checkbox"/> |
| e. the adequacy of resources? | <input type="checkbox"/> | <input type="checkbox"/> |
| f. relevant communication(s) from interested parties, including complaints; | <input type="checkbox"/> | <input type="checkbox"/> |
| g. opportunities for continual improvement? | <input type="checkbox"/> | <input type="checkbox"/> |
| Do the outputs of the management review include : | | |
| a. Conclusions on the continuing suitability, adequacy and effectiveness of the environmental management system; | <input type="checkbox"/> | <input type="checkbox"/> |
| b. decisions related to continual improvement opportunities; | <input type="checkbox"/> | <input type="checkbox"/> |
| c. decisions related to any need for changes to the environmental management system ,including resources; | <input type="checkbox"/> | <input type="checkbox"/> |
| d. actions, if needed, when environmental objectives have not been achieved; | <input type="checkbox"/> | <input type="checkbox"/> |
| e. opportunities to improve integration of the environmental management system with other business processes, if needed? | <input type="checkbox"/> | <input type="checkbox"/> |
| f. Any implications for the strategic direction of the organization; | <input type="checkbox"/> | <input type="checkbox"/> |
| Has the organization retained documented information as evidence of the results of management reviews? | <input type="checkbox"/> | <input type="checkbox"/> |

9.0 Improvement

9.1 General

- | | | |
|---|--------------------------|--------------------------|
| Has the organization determined and selected opportunities for improvement (9.1,9.2 and 9.3) and implemented necessary actions to achieve the intended outcomes of its environmental management system; | <input type="checkbox"/> | <input type="checkbox"/> |
|---|--------------------------|--------------------------|

9.2 Nonconformity and corrective action

9.2.1 When a nonconformity occurs, does the organization :

a. react to the nonconformity and, as applicable :

Yes No

1. take action to control and correct it?

2. deal with the consequences, including mitigating adverse environmental impacts?

b. evaluate the need for action to eliminate the causes of the nonconformity, in order that it does not recur or occur elsewhere, by :

1. reviewing the nonconformity?

2. determining the causes of the nonconformity?

3. determining if similar nonconformities exist, or could potentially occur?

c. implement any action needed?

d. review the effectiveness of any corrective action taken?

e. make changes to the environmental management system, if necessary?

Are the corrective actions appropriate to the significance of the effects of the nonconformities encountered, including the environmental impact(s)?

9.2.2 Has the organization retained documented information as evidence of :

a. the nature of the nonconformities and any subsequent actions taken?

b. the results of any corrective action?

9.3 Continual improvement

Yes No

Has the organization continually improved the suitability, adequacy and effectiveness of the environmental management system to enhance environmental performance?