



इंस्टीट्यूशन ऑफ सेफ्टी इंजीनियर्स (इंडिया)

INSTITUTION OF SAFETY ENGINEERS (INDIA)

(Formerly Run Under ZJEW Trust & Regd. Under Section 8 of Companies Act 2013 MCA & Govt. of India)

"AIM TO PREVENT ACCIDENT, PROTECT ENVIRONMENT + MINIMISE LOSSES DURING DISASTER"

ISO 14001:2015 (Environmental Management System) Checklist

4. Context of the organization		Status	Comments	Evidence
4.1	Understanding the organization and its context			
	Has the organization determined external and internal issues that are relevant to its purpose and its strategic direction and that affect its ability to achieve the intended result(s) of its EMS?			
	Does the organization understand the environmental conditions being affected by or capable of affecting the organisation?			
	<i>NOTE 1 Issues can include positive and negative factors or conditions for consideration.</i>			
	<i>NOTE 2 Understanding the external context can be facilitated by considering issues arising from legal, technological, competitive, market, cultural, social and economic environments, whether international, national, regional or local.</i>			
	<i>NOTE 3 Understanding the internal context can be facilitated by considering issues related to values, culture, knowledge and performance of the organization.</i>			
4.2	Understanding the needs and expectations of interested parties			
	Has the organization determined:			
	a) the interested parties that are relevant to the EMS?			
	b) the relevant needs and expectations of these interested parties?			
	b) which of these needs and expectations have become its compliance obligations?			
Does the organization monitor and review information about these interested parties and their relevant requirements?				
4.3	Determining the scope of the environmental management system			
	Has the organization determined the boundaries and applicability of the EMS to establish its scope?			
	When determining this scope, has the organization considered:			
	a) the external and internal issues referred to in 4.1?			
	b) the compliance obligations referred to in 4.2?			
	c) its organizational units, functions, and physical boundaries?			
	d) its activities, products and services?			
	e) the environmental conditions aspects that it can control as well as those that it can influence?			
	Once the scope has been defined, has the organization included all activities, products and services of the organization within the EMS?			
Is the scope of the organization's EMS available and maintained as documented information ?				
4.4	Environmental management system			
	Has the organization established, implemented, maintained, and continually improve a system in accordance with ISO 14001:2015?			
	Does the organization consider the processes needed for the effective operation of its system, including their interaction?			



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	Has the organization considered its context (4.1) and the needs and expectations of interested parties (4.2) when establishing and maintaining its EMS?		
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5. Leadership	Status	Comments	Evidence
5.1 Leadership and commitment			
Have top management demonstrated leadership and commitment with respect to the EMS by:			
a) taking accountability for the effectiveness of the EMS?			
b) ensuring that the environmental policy and environmental objectives are established for the EMS and are compatible with the context and strategic direction of the organization?			
c) ensuring the integration of the EMS requirements into the organization's business processes?			
e) ensuring that the resources needed for the EMS are available?			
f) communicating the importance of effective environmental management and of conforming to the EMS requirements?			
g) ensuring that the EMS achieves its intended results?			
h) engaging, directing and supporting persons to contribute to the effectiveness of the EMS?			
i) promoting improvement?			
j) supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility?			
<i>NOTE Reference to "business" in ISO 14001 can be interpreted broadly to mean those activities that are core to the purposes of the organization's existence, whether the organization is public, private, for profit or not for profit.</i>			
5.2 Environmental policy			
Has top management established, implemented and maintained an environmental policy that:			
a) is appropriate to the purpose and context of the organization, including the nature, scale and environmental impacts of its activities, products and services?			
b) provides a framework for setting environmental objectives?			
c) includes a commitment the protection of the environment, including prevention of pollution and other specific commitments relevant to the context of the organization?			
d) includes a commitment to fulfil its compliance obligations?			
d) includes a commitment to continual improvement of the EMS to enhance environmental performance?			
<i>NOTE Other specific commitment(s) to protect the environment can include sustainable resource use, climate change mitigation and adaption, and protection of biodiversity and ecosystems.</i>			
Is the environmental policy:			
a) maintained as documented information ?			
b) communicated within the organization?			



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	c) available to relevant interested parties?			
5.3	Organizational roles, responsibilities and authorities			
	Do top management ensure that the responsibilities and authorities for relevant roles are assigned and communicated within the organization?			
	Have top management assigned the responsibility and authority for:			
	a) ensuring that the EMS conforms to the requirements of ISO 14001?			
	b) reporting on the performance of the EMS to top management?			

6. Planning		Status	Comments	Evidence
6.1	Actions to address risks and opportunities			
6.1.1	General			
	When planning for the EMS, has the organization considered:			
	a) the context of the organization (4.1)?			
	b) the needs and expectations of its interested parties (4.2)?			
	c) the scope of its EMS (4.3)?			
	Has the organization determined the risks and opportunities associated with its environmental aspects (6.1.2) and its compliance obligations (6.1.3), as well as issues related to their context and the needs and expectations of interested parties?			
	Are these risks and opportunities addressed in order to:			
	1) give assurance that the EMS can meet its intended outcomes?			
	2) prevent or reduce undesired (negative) effects, including external conditions that may affect the organization?			
	3) achieve continual improvement?			
	Has the organization determined its potential emergency situations?			
	Has the organization maintained documented information of its:			
	1) risks and opportunities that need to be addressed?			
	2) processes needed in clauses 6.1.1 to 6.1.4 to have confidence they are carried out as planned?			
6.1.2	Environmental aspects			
	Within the scope of the EMS, has the organization determined the environmental aspects and their associated impacts of its activities, products and services:			
	1) that it can control?			
	2) that it can influence?			
	Has the organization considered a life cycle perspective?			
	When determining its environmental aspects, has the organization considered:			
	a) change, including planned or new developments, and new or modified activities, products and services?			
b) abnormal conditions and reasonably foreseeable emergency situations?				



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	Has the organization used established criteria to determine which aspects have, or can have, a significant environmental impact?			
	Has the organization communicated its significant environmental aspects among various functions and levels of the organization, as appropriate?			
	Has the organization retained documented information of its:			
	1) environmental aspects and their associated impacts?			
	2) criteria used to determine its significant environmental aspects?			
	3) which environmental aspects have been determined by the organization to be significant?			
6.1.3	Compliance obligations			
	Has the organization:			
	a) determined the compliance obligations related to its environmental aspects, and does it have access to them?			
	b) determined how these compliance obligations apply to the organization?			
	c) taken these compliance obligations into account within the rest of the EMS?			
	Has the organization retained documented information of its compliance obligations?			
6.1.4	Planning action			
	Has the organization planned:			
	a) actions to address its:			
	1) significant environmental aspects (6.1.2)?			
	2) compliance obligations (6.1.3)?			
	3) risks and opportunities (6.1.1)?			
	b) how to:			
	1) integrate and implement the actions into its EMS processes or other business processes?			
	2) evaluate the effectiveness of its planned actions?			
	When planning actions, has the organization considered its technological options, as well as its financial, operational, and business requirements?			
6.2	Environmental objectives and planning to achieve them			
6.2.1	Environmental objectives			
	Has the organization established environmental objectives at relevant functions, levels and processes needed for the EMS?			
	Do these objectives take into account the organization's significant environmental aspects, its applicable compliance obligations, and its risks and opportunities?			
	Are the environmental objectives:			
	a) consistent with the environmental policy?			
	b) measurable?			
	c) monitored?			
	f) communicated?			



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	g) updated as appropriate?			
	Does the organization maintain documented information on the environmental objectives?			
6.2.2	Planning actions to achieve environmental objectives			
	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 any indicators for monitoring progress toward achievement of its measurable environmental objectives?			
	Has the organization considered how it will integrate its actions to achieve its environmental objectives into its business processes?			

7. Support		Status	Comments	Evidence
7.1	Resources			
7.1.1	General			
	Has the organization determined and provided the resources needed for the establishment, implementation, maintenance and continual improvement of the EMS?			
7.2	Competence			
	Has the organization:			
	a) determined the necessary competence of person(s) doing work under its control that affects environmental performance and its ability to fulfil its compliance obligations?			
	b) ensured that these persons are competent on the basis of appropriate education, training, or experience?			
	c) determined the training needs associated with its EMS?			
	d) taken actions, where applicable, to acquire the necessary competence and evaluated the effectiveness of the actions taken?			
	Does the organization retain documented information as evidence of competence?			
	<i>NOTE Applicable 'actions' can include, for example, the provision of training to, the mentoring of, or the reassignment of currently employed persons; or the hiring or contracting of competent persons.</i>			
7.3	Awareness			
	Has the organization ensured that persons doing work under its control are aware of:			
	a) the environmental policy?			
	b) the significant environmental aspects and related actual or potential impacts associated with their work?			
	c) their contribution to the effectiveness of the EMS, including the benefits of improved environmental performance?			



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	d) the implications of not conforming with the EMS requirements, including not fulfilling the organization's compliance obligations?			
7.4	Communication			
7.4.1	General			
	Has the organization determined the internal and external communications relevant to the EMS including:			
	a) on what it will communicate?			
	b) when to communicate?			
	c) with whom to communicate?			
	d) how to communicate?			
	When establishing its communication processes, did the organization:			
	1) take into account its compliance obligations?			
	2) ensure that the environmental information it communicates is consistent with the data generated by the EMS, and is reliable?			
	Does the organization respond to relevant communications on its environmental management system?			
	Does the organization retain appropriate documented information as evidence of its communications?			
7.4.2	Internal communication			
	Does the organization:			
	a) internally communicate appropriate information relevant to the environmental management system among the various levels and functions of the organization, including any changes to the environmental management system?			
	b) ensure its communication processes enable persons doing work under the organization's control to contribute to continual improvement?			
7.4.3	External communication			
	Does the organization communicate to relevant external interested parties in accordance with:			
	1) its communication processes?			
	2) as required to by its compliance obligations?			
7.5	Documented information			
7.5.1	General			
	Does the organization's EMS include:			
	a) documented information required by ISO 14001?			
	b) documented information determined by the organization as being necessary for the effectiveness of the EMS?			
7.5.2	Creating and updating			
	When creating and updating documented information, does the organization ensure appropriate:			
	a) identification and description (e.g. a title, date, author, or reference number)?			



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	b) format (e.g. language, software version, graphics) and media (e.g. paper, electronic)?			
	c) review and approval for suitability and adequacy?			
7.5.3	Control of documented information			
	Is the documented information required by the EMS and by ISO 14001 controlled to ensure:			
	a) it is available and suitable for use, where and when it is needed?			
	b) it is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity)?			
	For the control of documented information, has the organization shall addressed the following activities, as applicable:			
	a) distribution, access, retrieval and use?			
	b) storage and preservation, including preservation of legibility?			
	c) control of changes (e.g. version control)?			
	d) retention and disposition?			
	Is documented information of external origin, determined by the organization to be necessary for the planning and operation of the EMS, identified as appropriate and controlled?			
	Is documented information retained as evidence of conformity protected from unintended alterations.			
	<i>NOTE 'Access' can imply a decision regarding the permission to view the documented information only, or the permission and authority to view and change the documented information.</i>			

8. Operation		Status	Comments	Evidence
8.1	Operational planning and control			
	Has the organization established, implemented, controlled and maintained the processes needed to meet EMS requirements, and to implement any actions identified in clause 6.1 and 6.2 by:			
	1) establishing operating criteria for its processes?			
	2) implementing control of the processes in accordance with the operating criteria?			
	<i>NOTE Controls can include engineering controls and procedures. Controls can be implemented following a hierarchy (e.g. elimination, substitution, administrative) and can be used individually or in combination.</i>			
	Has the organization controlled any planned changes and reviewed the consequences of unintended changes, taking appropriate action to mitigate any adverse effects?			
	Has the organization ensured any outsourced processes are either controlled or influenced?			
	Has the organization defined the type and extent of control to be applied to its external providers within the EMS?			
	Consistent with a life cycle perspective, has the organization:			



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	a) established the controls needed to ensure that its environmental requirements are addressed in the design and development processes for its products and services, considering each life cycle stage?			
	b) determined its environmental requirements for the procurement of products and services?			
	c) communicated its relevant environmental required to external providers, including contractors?			
	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?			
	Does the organization maintain documented information to the extent necessary to have confidence that the processes have been carried out as planned?			
8.2	Emergency preparedness and response			
	Has the organization established, implemented and maintained the processes needed to prepare for and respond to potential emergency situations identified as part of its risks and opportunities (6.1.1)?			
	Has the organization:			
	a) prepared to respond to potential emergency situations by planning actions to prevent or mitigate adverse environmental impacts from emergency situations?			
	b) responded to any 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 environmental impact?			
	d) periodically tested all of the planned response actions, where practicable?			
	e) periodically reviewed and revised the processes 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 its control?			
	Does the organization retain documented information to the extent necessary to have confidence that the emergency preparedness and response processes are carried out as planned?			

9. Performance evaluation		Status	Comments	Evidence
9.1	Monitoring, measurement, analysis and evaluation			
9.1.1	General			
	Does the organization monitor, measure, analyse and evaluate its environmental performance?			



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	Has the organization determined:			
	a) what needs to be monitored and measured?			
	b) the applicable methods for monitoring, measurement, analysis and evaluation to ensure valid results?			
	c) the criteria against which the organization will evaluate its environmental performance and appropriate indicators?			
	d) when the monitoring and measurement activities will be performed?			
	e) when the results of monitoring and measurement shall be analysed and evaluated?			
	Has the organization ensured that appropriate calibrated or verified monitoring and measurement equipment is used and maintained?			
	Does the organization evaluate its environmental performance and the effectiveness of the EMS?			
	Does the organization communicate relevant environmental performance information both internally and externally in accordance with its communication processes identified in clause 7.4.1, and as per its compliance obligations?			
	Does the organization retain appropriate documented information as evidence of its monitoring, measurement, analysis and evaluation results?			
9.1.2	Evaluation of compliance			
	Has the organization established, implemented and maintained processes needed to evaluate the fulfilment of its compliance obligations?			
	Has the organization:			
	a) determined the frequency that compliance will be evaluated?			
	b) evaluated compliance and taken action if needed?			
	c) maintained knowledge and understanding of its compliance status?			
	Has the organization retained documented information as evidence of the compliance evaluation results?			
9.2	Internal audit			
9.2.1	General			
	Does the organization conduct internal audits at planned intervals to provide information on whether the EMS:			
	a) conforms to:			
	1) the organization's own requirements for its EMS?			
	2) the requirements of ISO 14001?			
	b) is effectively implemented and maintained?			
9.2.2	Internal audit programme			
	Has the organization established, implemented and maintained an audit programme, which includes the frequency, methods, responsibilities, planning requirements and reporting of its internal audits?			



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	When establishing the audit programme, did the organization 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?			
	b) selected auditors and conducted audits to ensure objectivity and impartiality of the audit process?			
	c) ensured that the results of the audits are reported to relevant management?			
	Does the organization retain documented information as evidence of the implementation of the audit programme and the audit results?			
9.3	Management review			
	Does top management review the organization's EMS, at planned intervals, to ensure its continuing suitability, adequacy, effectiveness?			
	Does 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 EMS?			
	2) the needs and expectations of interested parties, including compliance obligations?			
	3) its significant environmental aspects?			
	4) risks and opportunities?			
	c) the extent to which environmental objectives have been achieved?			
	d) information on the organization's environmental performance, including trends in:			
	1) nonconformities and corrective actions?			
	2) monitoring and measurement results?			
	3) fulfilment of its compliance obligations?			
	4) audit results?			
	e) the adequacy of resources?			
	f) relevant communications from interested parties, including complaints?			
	g) opportunities for improvement?			
	Do the management reviews result in:			
	1) conclusions on the continuing suitability, adequacy and effectiveness of the EMS?			
	2) decisions related to continual improvement opportunities?			
	3) decisions related to any need for changes to the EMS, including resources?			
	4) actions, if needed, when environmental objectives have not been achieved?			



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5) opportunities to improve integration of the EMS with other business processes, if needed?			
6) Any implications for the strategic direction of the organization?			
Does the organization retain documented information as evidence of the results of management reviews?			

10. Improvement		Status	Comments	Evidence
10.1	General			
	Has the organization determined the opportunities for improvement (identified in its performance evaluation processes) and implemented necessary actions to achieve the intended outcomes of its EMS?			
10.2	Nonconformity and corrective action			
	When a nonconformity occurs, does the organization:			
	a) react to the nonconformity and, as applicable:			
	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 EMS, if necessary?			
	Are the corrective actions appropriate to the significance of the effects of the nonconformities encountered, including any environmental impacts?			
	Does the organization retain documented information as evidence of:			
	a) the nature of the nonconformities and any subsequent actions taken?			
	b) the results of any corrective action?			
10.3	Continual improvement			
	Does the organization continually improve the suitability, adequacy and effectiveness of the EMS to enhance environmental performance?			

Note: Evidence or supporting documents can be add additional with annexure

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