

Report No.:	Date:	Organization Name:
Assessor:	Location:	

Clause Number & Questions	Notes & Guidelines	Policy	Procedure	Reference & Comments
4 CONTEXT OF THE ORGANISATION				
4.1 Understanding the organization and its context				
The organization shall determine 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. Such issues shall include environmental conditions being affected by or capable of affecting the organization.				
4.2 Understanding the needs and expectations of interested parties				
The organization shall determine:				
a) the interested parties that are relevant to the environmental management system;				
b) the relevant needs and expectations (i.e. requirements) of these interested parties;				
c) which of these needs and expectations become its compliance obligations.				
4.3 Determining the scope of the environmental management system				
The organization shall determine the boundaries and applicability of the environmental management system to establish its scope.				
When determining this scope, the organization shall consider:				
a) the external and internal issues referred to in 4.1;				
b) the compliance obligations referred to in 4.2;				
c) its organizational unit(s), function(s), and physical boundaries;				
d) its activities, products and services;				
e) its authority and ability to exercise control and influence.				

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Once the scope is defined, all activities, products and services of the organization within that scope need to be included in the environmental management system.				
The scope shall be maintained as documented information and be available to interested parties.				
4.4 Environmental management system				
To achieve the intended outcomes, including enhancing its environmental performance, the organization shall establish, implement, maintain and continually improve an environmental management system, including the processes needed and their interactions, in accordance with the requirements of this International Standard.				
The organization shall consider the knowledge gained in 4.1 and 4.2 when establishing and maintaining the environmental management system.				
5 LEADERSHIP				
5.1 Leadership and commitment				
Top management shall demonstrate leadership and commitment with respect to the environmental management system by:				
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 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;				

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g) directing and supporting persons to contribute to the effectiveness of the environmental management system;				
h) promoting continual improvement;				
i) supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility.				
NOTE Reference to “business” in this International Standard can be interpreted broadly to mean those activities that are core to the purposes of the organization’s existence.				
5.2 Environmental policy				
Top management shall establish, implement and maintain an environmental policy that, within the defined scope of its environmental management system:				
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 to the protection of the environment, including prevention of pollution and other specific commitment(s) relevant to the context of the organization;	NOTE Other specific commitment(s) to protect the environment can include sustainable resource use, climate change mitigation and adaptation, and protection of biodiversity and ecosystems.			
d) includes a commitment to fulfil its compliance obligations;				
e) includes a commitment to continual improvement of the environmental management system to enhance environmental performance.				
The environmental policy shall:				
— be maintained as documented information;				
— be communicated within the organization;				
— be available to interested parties.				
5.3 Organizational roles, responsibilities and authorities				

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Top management shall ensure that the responsibilities and authorities for relevant roles are assigned and communicated within the organization.				
Top management shall assign the responsibility and authority for:				
a) ensuring that the environmental management system conforms to the requirements of this International Standard;				
b) reporting on the performance of the environmental management system, including environmental performance, to top management.				
6 PLANNING				
6.1 Actions to address risks and opportunities				
6.1.1 General				
The organization shall establish, implement and maintain the processes needed to meet the requirements in 6.1.1 to 6.1.4.				
When planning for the environmental management system, the organization shall consider:				
— the issues referred to in 4.1;				
— the requirements referred to in 4.2;				
— the scope of its environmental management system;				
and determine the risks and opportunities, related to its:				
— environmental aspects (see 6.1.2);				
— compliance obligations (see 6.1.3);				
— other issues and requirements, identified in 4.1 and 4.2;				
that need to be addressed to:				
— give assurance that the environmental management system can achieve its intended outcomes;				
— prevent, or reduce, undesired effects, including the potential for external environmental conditions to affect the organization;				
— achieve continual improvement.				
Within the scope of the environmental management system, the organization shall determine potential emergency situations, including those that can have an environmental impact.				
The organization shall maintain documented information of its:				

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— risks and opportunities that need to be addressed;				
— processes needed in 6.1.1 to 6.1.4, to the extent necessary to have confidence they are carried out as planned.				
6.1.2 Environmental aspects Within the defined scope of the environmental management system, the organization shall determine the 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.				
When determining environmental aspects, the organization shall take 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.				
The organization shall determine those aspects that have or can have a significant environmental impact, i.e. significant environmental aspects, by using established criteria.				
The organization shall communicate its significant environmental aspects among the various levels and functions of the organization, as appropriate.				
The organization shall maintain documented information of its:				
— environmental aspects and associated environmental impacts;				
— criteria used to determine its significant environmental aspects;				
— significant environmental aspects.	NOTE Significant environmental aspects can result in risks and opportunities associated with either adverse environmental impacts (threats) or beneficial environmental impacts (opportunities).			

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6.1.3 Compliance obligations The organization shall:				
a) determine and have access 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.				
The organization shall maintain documented information of its compliance obligations.	Compliance obligations can result in risks and opportunities to the organization.			
6.1.4 Planning action The organization shall plan:				
a) to take actions to address its:				
1) significant environmental aspects;				
2) compliance obligations;				
3) risks and opportunities identified in 6.1.1;				
b) how to:				
1) integrate and implement the actions into its environmental management system processes (see 6.2, Clause 7, Clause 8 and 9.1), or other business processes;				
2) evaluate the effectiveness of these actions (see 9.1).				
When planning these actions, the organization shall consider its technological options and its financial, operational and business requirements.				
6.2 Environmental objectives and planning to achieve them				
6.2.1 Environmental objectives The organization shall establish 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.				

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The environmental objectives shall be:				
a) consistent with the environmental policy;				
b) measurable (if practicable);				
c) monitored;				
d) communicated;				
e) updated as appropriate.				
The organization shall maintain documented information on the environmental objectives.				
6.2.2 Planning actions to achieve environmental objectives When planning how to achieve its environmental objectives, the organization shall determine:				
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 (see 9.1.1).				
The organization shall consider how actions to achieve its environmental objectives can be integrated into the organization's business processes.				
7 SUPPORT				
7.1 Resources				
The organization shall determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the environmental management system.				
7.2 Competence				
The organization shall:				
a) determine the necessary competence of person(s) doing work under its control that affects its environmental performance and its ability to fulfil its compliance obligations;				
b) ensure that these persons are competent on the basis of appropriate education, training or experience;				

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c) determine training needs associated with its environmental aspects and its environmental management system;				
d) where applicable, take actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken.	Applicable actions can include, for example, the provision of training to, the mentoring of, or the re-assignment of currently employed persons; or the hiring or contracting of competent persons.			
The organization shall retain appropriate documented information as evidence of competence.				
7.3 Awareness				
The organization shall ensure that persons doing work under the organization's control are aware of:				
a) the environmental policy;				
b) the significant environmental aspects and related actual or potential environmental impacts associated with their work;				
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.				
7.4 Communication				
7.4.1 General				
The organization shall establish, implement and maintain the processes needed for internal and external communications relevant to the environmental management system, including:				
a) on what it will communicate;				
b) when to communicate;				
c) with whom to communicate;				
d) how to communicate.				
When establishing its communication process(es), the organization shall:				

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— take into account its compliance obligations;				
— ensure that environmental information communicated is consistent with information generated within the environmental management system, and is reliable.				
The organization shall respond to relevant communications on its environmental management system. The organization shall retain documented information as evidence of its communications, as appropriate.				
7.4.2 Internal communication The organization shall: a) internally communicate 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;				
b) ensure its communication process(es) enable(s) persons doing work under the organization’s control to contribute to continual improvement.				
7.4.3 External communication The organization shall externally communicate information relevant to the environmental management system, as established by the organization’s communication process(es) and as required by its compliance obligations.				
7.5 Documented information				
7.5.1 General The organization’s environmental management system shall include:				
a) documented information required by this International Standard;				

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b) documented information determined by the organization as being necessary for the effectiveness of the environmental management system.	The extent of documented information for an environmental management system can differ from one organization to another due to: — the size of organization and its type of activities, processes, products and services; — the need to demonstrate fulfilment of its compliance obligations; — the complexity of processes and their interactions; — the competence of persons doing work under the organization's control.			
7.5.2 Creating and updating When creating and updating documented information, the organization shall ensure appropriate:				
a) identification and description (e.g. a title, date, author, or reference number);				
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 Documented information required by the environmental management system and by this International Standard shall be 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, the organization shall address the following activities as applicable:				

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— distribution, access, retrieval and use;	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.			
— storage and preservation, including preservation of legibility;				
— control of changes (e.g. version control);				
— retention and disposition.				
Documented information of external origin determined by the organization to be necessary for the planning and operation of the environmental management system shall be identified, as appropriate, and controlled.				
8 OPERATION				
8.1 Operational planning and control				
The organization shall establish, implement, control and maintain the processes needed to meet environmental management system requirements, and to implement the actions identified in 6.1 and 6.2, by:				
— establishing operating criteria for the process(es);				
— implementing control of the process(es), in accordance with the operating criteria.	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.			
The organization shall control planned changes and review the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary.				
The organization shall ensure that (an) outsourced process(es) is (are) controlled or influenced. The type and extent of control or influence to be applied to the process(es) shall be defined within the environmental management system.				
Consistent with a life cycle perspective, the organization shall:				

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a) establish 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 stage of its life cycle;				
b) determine its environmental requirement(s) for the procurement of products and services, as appropriate;				
c) communicate its relevant environmental requirement(s) to external providers, including contractors;				
d) 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.				
The organization shall maintain documented information to the extent necessary to have confidence that the process(es) has (have) been carried out as planned.				
8.2 Emergency preparedness and response				
The organization shall establish, implement and maintain the processes needed to prepare for and respond to potential emergency situations identified in 6.1.1.				
The organization shall:				
a) prepare to respond by planning actions to prevent or mitigate adverse environmental impacts from emergency situations;				
b) respond to actual emergency situations;				
c) take action to prevent or mitigate the consequences of emergency situations, appropriate to the magnitude of the emergency and the potential environmental 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) provide relevant information and training related to emergency preparedness and response, as appropriate, to relevant interested parties, including persons working under its control.				

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The organization shall maintain documented information to the extent necessary to have confidence that the process(es) is (are) carried out as planned.				
9 PERFROMANCE EVALUATION				
9.1 Monitoring, measurement, analysis and evaluation				
9.1.1 General The organization shall monitor, measure, analyse and evaluate its environmental performance. The organization shall determine:				
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.				
The organization shall ensure that calibrated or verified monitoring and measurement equipment is used and maintained, as appropriate.				
The organization shall evaluate its environmental performance and the effectiveness of the environmental management system.				
The organization shall communicate relevant environmental performance information both internally and externally, as identified in its communication process(es) and as required by its compliance obligations.				
The organization shall retain appropriate documented information as evidence of the monitoring, measurement, analysis and evaluation results.				
9.1.2 Evaluation of compliance The organization shall establish, implement and maintain the processes needed to evaluate fulfilment of its compliance obligations.				
The organization shall:				
a) determine the frequency that compliance will be evaluated;				
b) evaluate compliance and take action if needed;				

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c) maintain knowledge and understanding of its compliance status. The organization shall retain documented information as evidence of the compliance evaluation result(s).				
9.2 Internal audit				
9.2.1 General The organization shall conduct internal audits at planned intervals to provide information on whether the environmental management system:				
a) conforms to:				
1) the organization's own requirements for its environmental management system;				
2) the requirements of this International Standard;				
b) is effectively implemented and maintained.				
9.2.2 Internal audit programme The organization shall establish, implement and maintain an internal audit programme(s), including the frequency, methods, responsibilities, planning requirements and reporting of its internal audits.				
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.				
The organization shall:				
a) define the audit criteria and scope for each audit;				
b) select auditors and conduct audits to ensure objectivity and the impartiality of the audit process;				
c) ensure that the results of the audits are reported to relevant management.				
The organization shall retain documented information as evidence of the implementation of the audit programme and the audit results.				
9.3 Management review				
Top management shall review the organization's environmental management system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness.				

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The management review shall 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;				
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) adequacy of resources;				
f) relevant communication(s) from interested parties, including complaints;				
g) opportunities for continual improvement.				
The outputs of the management review shall include:				
— conclusions on the continuing suitability, adequacy and effectiveness of the environmental management system;				
— decisions related to continual improvement opportunities;				
— decisions related to any need for changes to the environmental management system, including resources;				
— actions, if needed, when environmental objectives have not been achieved;				
— opportunities to improve integration of the environmental management system with other business processes, if needed;				

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— any implications for the strategic direction of the organization. The organization shall retain documented information as evidence of the results of management reviews.				
10 IMPROVEMENT				
10.1 General				
The organization shall determine opportunities for improvement (see 9.1, 9.2 and 9.3) and implement necessary actions to achieve the intended outcomes of its environmental management system.				
10.2 Nonconformity and corrective action				
When a nonconformity occurs, the organization shall: 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 environmental management system, if necessary.				
Corrective actions shall be appropriate to the significance of the effects of the nonconformities encountered, including the environmental impact(s).				
The organization shall retain documented information as evidence of:				
— the nature of the nonconformities and any subsequent actions taken;				
— the results of any corrective action.				
10.3 Continual improvement				

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The organization shall continually improve the suitability, adequacy and effectiveness of the environmental management system to enhance environmental performance.				