

# ASSESSMENT REVIEW REPORT

ISO 14001



|   |
|---|
| <b>Name of Applicant (Organisation Name)</b>  |
|   |
| <b>Date of Completion (or amendment date)</b> |
|   |

## Notes:

1. Applicant to complete all shaded areas
2. The report is designed to be word processed but hand written responses are acceptable.
3. Provide brief explanations to explain conformance in all areas.
4. The reference numbers (in brackets) refer to the ISO 14001 clauses.
5. The clauses defined within this report must be implemented.
6. Detailed assistance in completing this report and ensuring you have the correct documentation can be found in guidance boxes.

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| <b>1. Management Responsibilities</b>   |  |
|---|--|
| Have management ensured the availability of resources to meet the requirements of the environmental management system (4.4.1)   | <u>Guidance</u><br>A judgement needs to be made in each of the areas. This is a real measure of management's commitment to the environmental system.       |
| (Explain how you meet this requirement in this space)   |  |
| Have top management appointed an Environmental Management Representative (Environmental Manager / Director etc) who (4.4.1): <ul style="list-style-type: none"> <li>• Ensures that the systems for environmental management are established, implemented and maintained (4.4.1.a)</li> <li>• Can report directly to top management regarding performance of the environmental management system and identify areas which require improvement (4.4.1.b)</li> </ul> | <u>Guidance</u><br>Top management must have appointed a Environmental Manager (or other designation) who takes responsibilities for the listed activities. |
| (Explain how you meet this requirement in this space)   |  |

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### 2. Environmental Policy

Do you have a publicly available documented environmental policy suitable for your organisation and its activities that includes a stated commitment to (4.2.a, b, c, d, f):

- continually improve the environmental management system,
- comply with all relevant environmental legislation, regulations including any other requirements,
- prevent pollution

Note: The policy must provide a “framework for setting and reviewing environmental objectives and targets” (When you set your environmental objectives these must be consistent with the environmental policy). (4.2.d)

#### Guidance

Your environmental policy (statement of your commitment to environmental matters) will need to meet the requirements stated but you should also try to ensure it reflects what you want to tell your customers about your commitment to them.

It will need to be the “springboard” for your commitment to your environmental objectives.

#### Environmental Policy Sample (Available)

MS Word [EPY-Sample-14001](#)

PDF [EPY-Sample-14001](#)

(Explain how you meet this requirement in this space)

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| <b>3. Environmental Manual &amp; Procedures</b>  |  |
|--|--|
| <p>You must define an environmental management system (4.1) to include:</p> <ul style="list-style-type: none"> <li>The scope of the application of the environmental management system must be clearly identified. (1)</li> <li>A flowchart or description of the core elements of the management system and their interaction (4.4.4.a)</li> <li>Provide references to locate related documentation (4.4.4.b)</li> </ul>                      | <p><u>Guidance</u><br/>You must have prepared, approved and implemented your environmental manual. Use the sample listed below or other similar solution.</p> <p><u>Environmental Manual</u><br/>MS Word <a href="#">EML-Sample-14001</a><br/>PDF <a href="#">EML-Sample-14001</a></p> |
| (Explain how you meet this requirement in this space)  |  |
| <p>You must establish and maintain procedures to: (4.3)</p> <ul style="list-style-type: none"> <li>Identify significant environmental aspects associated with the organisations activities, products and services that it can have control over and expect to influence. (These must be considered when setting environmental objectives and maintained up-to-date) (4.3.1)</li> <li>To identify legal requirements. (4.3.2, 4.5.1)</li> </ul> | <p><u>Guidance</u><br/>References to these requirements are addressed in documented format as a sample example.</p> <p><u>Environmental Management Procedure</u><br/>MS Word <a href="#">EMP-Sample-14001</a><br/>PDF <a href="#">EMP-Sample-14001</a></p>                             |
| (Explain how you meet this requirement in this space)  |  |

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| <b>3. Environmental Manual &amp; Procedures</b>   |  |
|---|--|
| <p>You must have processes to communicate with regard to environmental aspects and the environmental management system to define:</p> <ul style="list-style-type: none"> <li>Internal communication processes. (4.4.3.a)</li> <li>Handling external communications. (4.4.3.b)</li> </ul>  | <p><u>Guidance</u><br/>References to these requirements are addressed in the example Environmental Procedure referenced above.</p>   |
| <p>(Explain how you meet this requirement in this space)</p>  |  |
| <p>You must have processes to control documents including the following aspects (4.4.5):</p> <ul style="list-style-type: none"> <li>To ensure that they can be located (4.4.5.a)</li> <li>To review, approve, update and re-approve documents (4.4.5.b, 4.5.2)</li> <li>How relevant issues are available where required and control their distribution (4.4.5.c)</li> <li>How they remain legible and identifiable including date of revision (4.4.5)</li> <li>How obsolete (superseded) documents are controlled to avoid improper use (4.4.5.d, e)</li> <li>To define responsibilities for creation and modification of certain documents (4.4.5)</li> </ul> | <p><u>Guidance</u><br/>In establishing and maintaining procedures it is recommended that they be documented. Simple sample procedures have been included in the sample Environmental Manual reference above.</p> <p>(See also Environmental management Procedure for proposed details)</p> |
| <p>(Explain how you meet this requirement in this space)</p>  |  |

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| <b>3. Environmental Manual &amp; Procedures</b>   |  |
|---|--|
| <p>You must have processes to ensure that records will be maintained so that there is evidence that the organisation has fulfilled the requirements of the standard. They will be legible, identifiable to the activity, retrievable, include retention time and methods for their disposition (destruction) (4.5.3)</p>  | <p><u>Guidance</u><br/>In establishing and maintaining procedures it is recommended that they be documented. Simple sample procedures have been included in the sample Environmental Manual reference above.</p> |
| <p>(Explain how you meet this requirement in this space)</p> <div style="background-color: #e0e0e0; height: 150px; width: 100%;"></div>   |  |
| <p>You must ensure that you have a procedure for the identification of actual and potential non-conformities and their subsequent corrective or preventive actions including the following: (4.5.2)</p> <ul style="list-style-type: none"> <li>Control of environmental non-conformance (i.e. things that go wrong) which will describe how non-conforming product is identified and recorded (4.5.2).</li> <li>Corrective Action which will describe how environmental non-conformities are reviewed (including environmental complaints) to determine the cause, and evaluate the action required to provide a remedial action as well as one to prevent reoccurrence of the problem and review the action taken. A record of the corrective action and its processing will be maintained (4.5.2)</li> <li>Preventive Action to provide a means of identifying and determining any actions required to prevent the occurrence of an environmental problem and record the actions taken and a review of the action (4.5.2).</li> </ul> | <p><u>Guidance</u><br/>In establishing and maintaining procedures it is recommended that they be documented. Simple sample procedures have been included in the sample Environmental Manual reference above.</p> |
| <p>(Explain how you meet this requirement in this space)</p> <div style="background-color: #e0e0e0; height: 150px; width: 100%;"></div>   |  |

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| <b>3. Environmental Manual &amp; Procedures</b>   |   |
|---|---|
| <p>You must ensure that you have documented procedures established where they are deemed necessary for effective control of significant environmental aspects. These procedures must include the operating criteria required (4.4.6.a)</p>                                  | <p><u>Guidance</u><br/>You must have reviewed your operations in relation to environmental controls necessary to support them and where deemed necessary you must develop written procedures. E.g. disposing of special waste, cleaning a tank etc.</p>   |
| <p>(Explain how you meet this requirement in this space)</p>  |   |
| <p>You must ensure that you have procedures which must be established to deal with significant environmental aspects associated with the goods and services used and also to communicate relevant procedural and other requirements required of suppliers (4.4.6.c)</p>     | <p><u>Guidance</u><br/>You must have reviewed this area of operations and if deemed significant for control of aspects procedures must be defined. (It is preferred that they are documented). E.g. reviewing disposal routes of products manufactured, controlling on-site operations of contractors etc.</p>                |
| <p>(Explain how you meet this requirement in this space)</p>  |   |
| <p>You must ensure that you have procedures which must be established and maintained to manage situations of an accidental or emergency situation so that the environmental impacts are mitigated. These procedures will be tested periodically where practical.(4.4.7)</p> | <p><u>Guidance</u><br/>If you have identified situations that may arise which are of an emergency nature then you should have procedures (preferably documented) to enable action to be taken in the event that will mitigate the environmental impacts. E.g. Control of Accidental Spillages, In the Event of Fire. Etc.</p> |
| <p>(Explain how you meet this requirement in this space)</p>  |   |

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| <b>3. Environmental Manual &amp; Procedures</b>  |  |
|--|--|
| <p>You must ensure that you have procedures which must be documented, established and maintained to ensure that those environmental aspects which are significant will be monitored to ensure that the data is collected and tracked (4.5.1)</p> | <p><u>Guidance</u><br/>If you have identified significant aspects that are able to be monitored by collection of data then you must have a procedure (preferably documented) to manage the collection of the data so that the information can be reported and monitored. E.g. Gas used, CO2 control etc.</p> |
| <p>(Explain how you meet this requirement in this space)</p>   |  |

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| <b>4. Legislation</b>   |   |
|---|---|
| <p>Have you identified and do you have access to all legal and other regulatory requirements that your organisation must conform with. Do you periodically review your compliance to ensure you are fully in compliance? (4.3.2, 4.5.1)</p> | <p><u>Guidance</u><br/>You must be in a position to ensure that you are meeting the requirements of the law and any other regulations (including your customers).</p> <p>This is best served by a register but you can also simply make yourself aware of the applicable legislation by being able to access and review it. (See example register)</p> <p><u>Register of Legislation</u><br/>MS Word <a href="#">ROL-Sample-14001</a><br/>PDF <a href="#">ROL-Sample-14001</a></p> <p>Or you may wish to do this by reference to an online source such as NetRegs available from the Environment Agency (UK). <a href="http://www.environment-agency.gov.uk/NetRegs">http://www.environment-agency.gov.uk/NetRegs</a></p> |
| <p>(Please explain how you meet this in this space)</p>   |   |

| <b>5. Environmental Aspects</b>   |  |
|---|--|
| <p>You must establish and maintain an Environmental aspects record (including external communication 4.4.3) in accordance with your procedures.</p> | <p><u>Guidance</u><br/>You must prepare an analysis of the environmental aspects that can be associated with your organisation. This can simply be a register of environmental aspects (See example)</p> <p>Environmental Aspects Register<br/>MS Word <a href="#">EAR-Sample-14001</a><br/>PDF <a href="#">EAR-Sample-14001</a></p> |
| <p>(Please explain how you meet this in this space)</p>   |  |

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| <b>6. Environmental Programme &amp; Objectives</b>  |   |
|---|---|
| <p>You must establish and maintain Environmental objectives and targets (consistent with the Environmental Policy) for relevant functions and levels considering the following aspects: (4.3.3)</p> <ul style="list-style-type: none"> <li>Legal and other requirements</li> <li>Significant environmental aspects</li> <li>Technological options</li> <li>Financial, operational and business requirements</li> <li>The views of interested parties</li> </ul> | <p><u>Guidance</u><br/>Your environmental objectives are those areas that you will act upon to improve the environmental impacts. They should be supported by actions that can be measured in relation to absolute data or success in meeting the objective.</p> <p><u>Environmental Objectives</u><br/>MS Word <a href="#">EOB-Sample-14001</a><br/>PDF <a href="#">EOB-Sample-14001</a></p> |
| <p>(Please explain how you meet this in this space)</p>   |   |
| <p>You must establish and maintain an Environmental management programme to enable (4.3.4):</p> <ul style="list-style-type: none"> <li>The achievement of objectives and targets (4.3.4)</li> <li>The allocation of responsibilities for action within the programme (4.3.4.a)</li> <li>The identification of timing for starting and completion (4.3.4.b)</li> </ul>   | <p><u>Guidance</u><br/>Your environmental management system needs to be planned and executed. This is best achieved through a plan of some kind. (See example)</p> <p><u>Master Environmental Programme</u><br/>MS Word <a href="#">MEP-Sample-14001</a><br/>PDF <a href="#">MEP-Sample-14001</a></p>   |
| <p>(Please explain how you meet this in this space)</p>   |   |

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### 7. Internal Auditing

You must ensure that you have procedures (processes) in place to ensure that internal audits are planned and executed to verify compliance with your systems and the requirements of ISO 14001. You must comply with the following:

- The audit frequencies in various areas will be dependent on the likelihood of those areas being problematic.
- The Internal Auditor undertaking the audits will be competently trained.
- Audit Reports must be produced identifying any non-conformances detected and those managers responsible must take action to correct the problems and their causes (4.5.4)

#### Guidance

You must undertake internal audits. The number or frequency is your decision but should be sufficient to enable you to be satisfied the system is operating to the requirements of ISO 14001.

#### Audit Schedule

MS Word [AUS-Sample-14001](#)

PDF [AUS-Sample-14001](#)

#### Audit Report

MS Word [ARF-Template-14001](#)

PDF [ARF-Template-14001](#)

#### Discrepancy Report

MS Word [NCR-Template-14001](#)

PDF [NCR-Template-14001](#)

(Please add your response in this space)

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### 8. Management Review

A regular (minimum annually) minuted environmental management review meeting must be undertaken to discuss and define any actions required in a minuted meeting (4.6). The agenda must as a minimum cover the following issues:

- Review of Environmental Policy
- Review and resetting of Environmental Objectives against targets.
- Review of all necessary actions and responsibilities within the environmental programme to ensure compliance with the standard.

#### Guidance

You must undertake a meeting of management to discuss the agenda of the Management Review Meeting and keep minutes of the meeting including any action that must be completed (with dates).

Management Review Agenda  
MS Word [MRA-Template-14001](#)  
PDF [MRA-Template-14001](#)

(Explain how you meet this requirement in this space)

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| <b>9. Human Resources, Training &amp; Competence</b>  |   |
|---|---|
| <p>You must ensure that all roles and responsibilities are documented and communicated so that the environmental management system can be operated. (4.4.1)</p>   | <p><u>Guidance</u><br/>You must ensure that the persons responsible for actions associated with the operations of the EMS are defined and known. This may be achieved by vesture of the procedures or by use of a responsibilities matrix.</p> <p><u>Responsibilities Matrix</u><br/>MS Word <a href="#">ERM-Template-14001</a><br/>PDF <a href="#">ERM-Template-14001</a></p>  |
| <p>(Explain how you meet this requirement in this space)</p>  |   |
| <p>In respect of training, awareness and competence of personnel to ensure awareness of (4.4.2):</p> <ul style="list-style-type: none"> <li>The importance of conformance with the environmental policy, procedures and the environmental systems generally. (4.4.2.a)</li> <li>Actual or potential significant environmental impacts of the work being undertaken and the benefits of improved personal performance. (4.4.2.b)</li> <li>Their personal responsibilities for achieving conformance with the environmental policy, the requirements of the environmental systems and actions required during emergency situations. (4.4.2.c)</li> <li>The consequences of departing from a specified process. (4.4.2.d)</li> </ul> | <p><u>Guidance</u><br/>Clearly there will need to have been some form of training in place to establish that each person within the organisation knows what is expected from them. The simplest way off achieving this initially will be to have an induction to the EMS for all personnel. This may be in two parts depending on your organisation. First part would need to be a general overview and Part two would need to be specific with individuals if they have specific duties. Indeed, in a complicated environment many types of environmental training may need to be initiated.</p> |
| <p>(Explain how you meet this requirement in this space)</p>  |   |

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### 9. Human Resources, Training & Competence

You must ensure that all personnel performing work with significant environmental impacts are::

- Reviewed for competence to ensure they are fully able to perform their duties with full regard for the environmental impacts of their work .(4.4.2)
- Provided with training or other steps as required to ensure competence for duties (4.4.2)
- Maintain records of education, training, skills and experience (4.5.3)

#### Guidance

You may need to consider producing a competence matrix to demonstrate that you have reviewed personnel to ensure they are competent to do the work / tasks required.

You should consider how you will demonstrate that you have appraised personnel to determine what, if any, further training is required.

You must keep records of the training that has been undertaken.

(Explain how you meet this requirement in this space)

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### 10. Instrumentation

You must ensure that when collecting data that the instrumentation that is used is from equipment which is calibrated (with calibration records retained). (4.5.1)

#### Guidance

You should list the equipment that you use to record data associate with the environmental aspects you are monitoring. E.g. Weigh station, water meters. These should then be ensured to be in calibration for appropriate periods with calibration records kept.

(Explain how you meet this requirement in this space)

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### Assessment Review Report compliance with ISO 14001:1996

| ISO 14001 Clause | Description  | Assessment Review Report Section |
|------------------|--|----------------------------------|
| 4.1              | General requirements                                 |                                  |
| 4.2              | Environmental policy                                 | 2                                |
| 4.3              | Planning   | 3                                |
| 4.3.1            | Environmental aspects                                | 3                                |
| 4.3.2            | Legal and other requirements                         | 3, 4                             |
| 4.3.3            | Objectives and targets                               | 6                                |
| 4.3.4            | Environmental management programme(s)                | 6                                |
| 4.4              | Implementation and operation                         |                                  |
| 4.4.1            | Structure and responsibility                         | 1, 9                             |
| 4.4.2            | Training, awareness and competence                   | 9                                |
| 4.4.3            | Communication  | 3, 5                             |
| 4.4.4            | Environmental management system documentation        | 3                                |
| 4.4.5            | Document control                                     | 3                                |
| 4.4.6            | Operational control                                  | 3                                |
| 4.4.7            | Emergency preparedness and response                  | 3                                |
| 4.5              | Checking and preventive action                       |                                  |
| 4.5.1            | Monitoring and measurement                           | 3, 4, 7, 10                      |
| 4.5.2            | Non-conformance and corrective and preventive action | 3                                |
| 4.5.3            | Records  | 3, 9                             |
| 4.5.4            | Environmental management system audit                | 7                                |
| 4.6              | Management review                                    | 8                                |

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### Amendment Record

Note: To be completed by applicant organisation for minor changes to the report contents. Major changes would result in an amendment to the report.

| <b>Date</b> | <b>Description of the changes</b><br>(refer to relevant sections of the Assessment Review Report) |
|-------------|---|
|             |   |
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