

IMPLEMENTATION TRACKING: The following provides a list of questions that intend to address the degree of EMS implementation. The questions reflect the various requirements and expectations. The questions are based on the ISO 14001 EMS criteria. Any organization not using ISO 14001 would insert their own criteria in the respective entry. Note however that regardless of whether or not ISO 14001 is used, in order to assess degree of implementation, some criteria must be used to serve as the reference point. Unless an organization knows where it must be, it cannot assess how far along it is.

Implementation actually consists of several steps. For each requirement, questions are provided in the categories of “Developed”, “Endorsed”, “Deployed”, and “Verified”. Where the terms are defined as follows:

Developed: Typically, this means the requirement has been initially addressed, such as procedure being written, or objectives and targets being developed. There is no implication in the is category that anyone is actually following the procedure, or that results of what the procedure is supposed to do have been generated.

Endorsed: For some elements, there is a need for senior management to endorse, or at least formally acknowledge, the action or work product before it can be implemented.

Deployed: This step is where the element is actually deployed in the organization. Deployment may involve training and or some other type of operational adjustments.

Verified: Verification involves some type of evaluation that the requirement in question has been adequately deployed. For example, verification may include internal auditing or periodic, cursory, assessments.

Once a requirement has been Developed, Endorsed (where appropriate), Deployed, and Verified; it can be considered fully implemented.

Element	Developed	Endorsed	Deployed	Verified
Policy	Has an EMS policy been created that addresses all required points?	Has top management signed and stated support for the policy?	Is it available to the public? Has it been communicated to the employees? Is it posted? Does the remainder of the EMS reflect the policy commitments?	Employees are aware of and understand the policy.

Aspects	Has a procedure been created in accordance with criteria? Does it provide for keeping information up to date?	If using ISO 14001, has the organization approved the significance criteria?	Have aspects been identified? Have significant aspects been identified? Is the aspects information being communicated to others developing other parts of the EMS?	Does the significant aspect list accurately reflect the operations?
Legal and Other Requirements	Has a procedure been created in accordance with criteria?	NA	Have legal and other requirements been identified? Are specifics of the requirements described? Have affected areas of the organization been advised of their specific expectations and requirements (including training)?	Initial EMS and compliance audits indicate either compliance, or at least awareness and action on non-compliances.
Objectives and Targets	Have objectives and targets been developed in accordance with criteria? Have performance targets and metrics been identified for the objectives and targets?	Has senior management agreed with the objectives and targets?	Have objectives and targets been communicated to the organization?	Staff is aware of the objectives and targets. Necessary support for objectives and targets is evident in other elements of the system (ie, training, etc.)

Environmental Management Programs	Has at least one program been developed for each objective in accordance with criteria?	Has senior management approved the resource needs necessary to carry out the EMPs?	Have those responsible for carrying out the EMPs been made aware? Are necessary resources allocated and available? Has the EMS been designed to reflect requirements of the EMPs (ie, training, operational controls, monitoring and measurement procedures, etc)?	Evidence of EMPs being carried out. Progress is being made, or at least being tracked, with identified metrics.
Structure and Responsibility	Have key EMS-related roles been identified and described? Is the reporting relationship between EMS roles and top management clearly defined? Has the environmental management representative (EMR) been identified?	Has top management acknowledged and endorsed the roles and reporting responsibilities?	Has affected staff been advised of their roles? Are resources provided for key roles to accomplish their tasks?	Staff is performing their defined roles. EMS staff (EMR) has access to senior management.
Training, Awareness, and Competence	Have training needs been identified in accordance with criteria and in line with EMS characteristics?	NA	Have training mechanisms and materials been identified? Is training being conducted?	Records reveal training is being conducted. Staff is aware of what their role is in the EMS.
Communication	Have communication procedures been developed?	Has top management recorded their decision on external communication of aspects information (ISO 14001 only)?	Is information being communicated to staff? Are external communications addressed in accordance with procedures? Do key personnel know how to handle external communications?	Procedures are being followed.

EMS Documentation	Is the EMS documentation created? Are the appropriate links and directional information explained?	NA	Does the documentation describe the EMS? Is it practical and feasible to navigate the EMS?	Elements of the EMS can be found by navigating the documentation.
Document Control	Are document control procedures created in accordance with criteria?	NA	Is documentation controlled?	Are current procedures and documents used? Are obsolete documents removed from EMS use?
Operational Control	Have critical operations been identified in line with aspects, policy, and objectives and targets? Are procedures created to control operations? Are procedures created to manage contractors and suppliers?	NA	Are affected areas aware of their operational control procedures and requirements? Have suppliers and contractors been advised accordingly?	Site operations are occurring in accordance with operational control procedures and criteria.
Emergency Planning and Response	Have potential emergency situations been identified? Have response plans been developed? Has a decision been made on testing the plans?	NA	Have emergency plans been communicated? Have plans been tested (if applicable)?	Emergency situations addressed in accordance with procedures.
Monitoring and Measurement	Have key parameters been identified? Has EMS equipment been identified for calibration? Have measurement procedures been created? Have calibration procedures been created? Is there a procedure for compliance with legal and other requirements?	NA	Is staff aware of their measurement responsibilities? Are the tools and forms necessary for effective measurement created and available where needed? Has staff been trained where appropriate?	Measurements are being collected and used by the EMS in accordance with procedures. Performance on objectives and targets is being measured. Equipment is calibrated.

Corrective and Preventive Action	Have procedures been created for identifying, addressing, and tracking action on non-conformances?	NA	Has staff been advised of procedures and how to process a non-conformance? Does know how to identify a non-conformance? Are there forms or other method of inputting and tracking non-conformances?	Non-conformances are being identified and submitted for action and tracking. The system is being corrected of deficiencies. Corrective action is being evaluated for trends and preventive action.
Records	Have procedures been created for managing EMS records? Have types of EMS records been identified?	NA	Is staff aware of what EMS records are and how to manage them? Are records managed in accordance with procedures?	Records are readily retrievable, properly identified, stored, and legible. The records are appropriate to assess progress of the EMS.
EMS Audits	Have EMS auditing procedures, programs, and protocols been created? Have EMS auditors been trained? Is the schedule for EMS audits prepared?	NA	Is the audit team prepared, and provided with necessary time and resources to conduct the audits? Have audits been scheduled? Has at least one audit been conducted during the implementation stage? Have audit results been processed (through corrective action and for management review)?	Audits have been conducted in accordance with procedures. Audits appropriately assessed and evaluated the EMS.

Management Review	Have procedures, agenda, and schedules been created for periodic management reviews?	Is top management aware of their role and responsibility regarding management review?	Has a management review been conducted?	A management review has been conducted in accordance with criteria such that the EMS was properly evaluated and discussed, and action agreed to for: addresses deficiencies, and continual improvement.
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