

MAIN ROADS DECLARATION FORM

FOR AUDITOR CONDUCTING MANAGEMENT SYSTEM REVIEWS

Company Name being audited:	
Trading Name (if applicable):	
ACN No. of company being audited:	

Name of Audit Company:	
Name of Auditor:	
Auditor's qualifications and date qualified:	
Body certifying Auditor's qualifications:	

Main Roads Checklists

Quality Version Date:	OH&S Version Date:	EMS Version Date:
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DECLARATION:

I have reviewed the company's systems against the relevant Main Roads checklists above and certify that the systems satisfy the requirements of the checklists.

System	Company Document No. and Revision No.	Complies
Quality		Yes / No
OH&S		Yes / No
EMS		Yes / No

Signature: Date:

Note: This declaration expires 3 years after the issue date.

Comments:

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Quality System Checklist

QUALITY MANAGEMENT SYSTEM CHECKLIST – ISO 9001:2015

Note: This checklist must be read in conjunction with the standard

(STATUS A = Acceptable; N = Not Acceptable; N/A = Not Applicable)

Item No.	ISO Ref	Standard Requirements	Status A,N,N/A	Comments
	4	Context of the organization		
1.	4.1	Understanding the organizations and its context Has the organization monitored and reviewed information about external and internal issues that are relevant to its purpose and its strategic direction that affect its ability to achieve the intended result of its quality management system (QMS)?		
2.	4.2	Understanding the needs and expectation of interested parties Has the organization determined the contract and legal requirements of Main Roads and other statutory authorities relevant to the QMS? Does the organization monitor and review this information?		
3.	4.3	Determining the scope of the QMS Has the organization established the scope of the QMS by considering the boundaries and applicability of items 4.1 and 4.2 above and the product and services provided by the organization? Is this scope available and maintained as documented information?		
4.	4.4 4.4.1	QMS and its processes Are the QMS's required and relevant processes for this standard, implemented maintained and continually improved by the organization? Have these processes been developed considering items 4.4.1 (a) to 4.4.1 (h) of this standard?		
5.	4.4.2	Is documented information maintained and retained to support operation of processes as planned?		
	5	Leadership		
6.	5.1 5.1.1	Leadership and commitment General Has leadership and commitment to the QMS been demonstrated by top management? Refer to items 5.1.1 (a) to (j)?		
7.	5.1.2	Customer focus Has leadership and commitment to the customer focus been demonstrated by top management? Refer to items 5.2.1 (a) to (c)?		
8.	5.2 5.2.1	Policy Establishing the quality policy Has top management established, implemented and maintained a quality policy that incorporates the requirements of items 5.2.1 (a) to (d)?		
9.	5.2.2	Communicating the quality policy Is the quality policy: - available and maintained as documented information; - communicated , understood and applied internally; - available to relevant interested parties, as appropriate?		

Quality System Checklist

Item No.	ISO Ref	Standard Requirements	Status A,N,N/A	Comments
10.	5.3	Organizational roles, responsibilities and authorities Does top management ensure that responsibilities and authorities for relevant roles are assigned, communicated and understood internally? Has top management assigned the responsibility and authority for items 5.3(a) to (e)?		
	6	Planning		
11.	6.1 6.1.1	Actions to address risks and opportunities Have the risks and opportunities that need to be addressed been determined for issues in item 4.1 and requirements of items 4.2 to address items 6.1.1 (a) to (d)?		
12.	6.1.2	Has the organization planned: - actions to address these risks and opportunities; - how to integrate, implement and evaluate these actions?		
13.	6.2 6.2.1	Quality objectives and planning to achieve them Has the organization established quality objectives at relevant functions, levels and processes needed for the QMS that incorporate items 6.2.1 (a) to (g)? Is documented information maintained on the quality objectives?		
14.	6.3	Planning of changes Are changes carried out in a planned manner (refer item 4.4) and with consideration of items 6.3 (a) to (d)?		
	7	Support		
	7.1	Resources		
15.	7.1.1	General Has the organization determined and provided resources needed to establish, implement, maintain and continually improve the QMS?		
16.	7.1.2	People Has the organization determined and provided the persons necessary for the effective implementation of its QMS and for the operation and control of its processes?		
17.	7.1.3	Infrastructure Has the organization provided and maintained the infrastructure necessary for the operation of its processes and to achieve conformity of products and services?		
18.	7.1.4	Environment for the operation processes Has the organization provided and maintained the environment necessary for the operation of its processes and to achieve conformity of products and services?		
19.	7.1.5	Monitoring and measuring resources Has the organization provided the resources needed to ensure valid and reliable results when monitoring or measuring is used to verify conformity of products and services to requirements? Has the organization retained appropriate documented information as evidence of fitness for purpose of monitoring and measuring resources?		

Quality System Checklist

Item No.	ISO Ref	Standard Requirements	Status A,N,N/A	Comments
20.	7.1.5 cont.	Is measuring equipment: - calibrated or verified, or both at specified intervals, prior to use to applicable standards and documented information retained; - identified in order to determine its status; - stored appropriately?		
21.	7.1.6	Organizational knowledge Has the organization determined the knowledge necessary for the operation of its processes and to achieve conformity of products and services?		
22.	7.2	Competence Has the organization: - determined the necessary competence of person(s) under its control that affects the performance and effectiveness of the QMS? - ensured these persons have appropriate competency? - retained appropriate documented information as evidence of competence?		
23.	7.3	Awareness Has the organization ensured that persons are aware of: - the quality policy; - relevant quality objectives; - their contributions to the effectiveness of the QMS; - the implications of not conforming with the QMS requirements?		
24.	7.4	Communication Has the organization determined the internal and external communications relevant to the QMS including on what, when, with whom, how and who?		
	7.5	Documented Information		
25.	7.5.1	General Does the organization's QMS include documented information: - required by this standard; - determined by the organization as being necessary for the effectiveness of the QMS?		
26.	7.5.2	Creating and updating When creating and updating documented information has the organization ensured appropriate: - identification and description - format - review and approval for suitability and adequacy?		
27.	7.5.3	Control of documented information Is documented information required by the QMS and this standard controlled to ensure: - it is available and suitable for use; - it is adequately protected?		
28.	7.5.3 cont.	For the control of documented information are the following activities addressed: - distribution, access, retrieval and use; - storage and preservation; - control of changes; - retention and disposition?		
29.	7.5.3 cont	Is external documented information applicable to the QMS appropriately identified and controlled?		
30.	7.5.3 cont	Is documented information retained as evidence of conformity protected from unintended alterations?		

Quality System Checklist

Item No.	ISO Ref	Standard Requirements	Status A,N,N/A	Comments
	8	Operation		
31.	8.1	Operational planning and control Does the organization plan implement and control the processes (see item 4.4) needed to meet the requirements for the provision of products and services, and to implement the actions determined in item 6, by: <ul style="list-style-type: none"> - determining the requirements of the products and services; - establishing the criteria for the process and acceptance - determining the resources for conformity - implementing control of the processes - determining, maintaining and retaining documented information ? Has the organization ensured that outsourced processes are controlled?		
	8.2	Requirements for products and requirements		
32.	8.2.1	Customer communication Does customer communication include items (a) to (e)?		
33.	8.2.2	Determining the requirements for products and services When determining the requirements for the products and services to be offered to customers, has the organization ensured: <ul style="list-style-type: none"> - the requirements are defined including legal and organizational - the organization can meet customer requests? 		
34.	8.2.3	Review the requirements for products and services To ensure that the organization can meet its ability to meet the requirements for product and services to be offered to the customer, the organization shall conduct a review to include items (a) to (e)?		
35.	8.2.3 (cont.)	Has the organization retained documented information as applicable on the results of the review or on any new requirement for the product and services?		
36.	8.2.4	Changes to requirements for products and services For changes to products and services has the organization ensured that relevant documented information is amended and that relevant persons are made aware of the changed requirements?		
37.	8.3	Design and development planning Not applicable		
	8.4	Control of externally provided processes, products and services		
38.	8.4.1	General Has the organization determined the controls to be supplied to externally provided processes, product and services when: <ul style="list-style-type: none"> - they are intended for incorporation into the organization's products and services; - they are provided directly by the customer by external providers on behalf of the organization; - a process or part of a process is provided by an external provider as a result of a decision of the organization? 		
39.	8.4.1 (cont)	Does the organization determine and apply criteria for the evaluation, selection, monitoring of performance, and re-evaluation of external providers? Does the organization retain documented information of these activities and any necessary actions arising from the evaluations?		

Quality System Checklist

Item No.	ISO Ref	Standard Requirements	Status A,N,N/A	Comments
40.	8.4.2	Type and extent of control Does the organization ensure that externally provided processes, product and services do not adversely affect the organization's ability to consistently deliver conforming products and services to its customers? For the type and extent of control, does the organization follow items (a) to (d)?		
41.	8.4.3	Information for external providers Does the organization ensure the adequacy of requirements prior to their communication to external providers? Does this communication include requirements (a) to (f)?		
	8.5	Production and service provisions		
42.	8.5.1	Control of production and service provision Does the organization implement production and services provisions under controlled conditions? Do these controlled conditions include, as applicable items (a) to (h)?		
43.	8.5.2	Identification and traceability Does the organization use suitable means to identify outputs when it is necessary to ensure conformity of products and services? Does the organization identify the status of outputs with respect to monitoring and measurement? Does the organization control the unique identification of the outputs when traceability is required?		
44.	8.5.3	Property belonging to customer or external providers Does the organization identify, verify, protect and safeguard customers' or external providers property provided for use or incorporation into products and services?		
45.	8.5.4	Preservation Does the organization preserve the outputs during production and service provision?		
46.	8.5.5	Post-delivery activities Does the organization meet requirements for post-delivery activities associated with the products and services to the extent as considered in (a) to (e)?		
47.	8.5.6	Control of changes Does the organization review and control changes for production or service provision? Does the organization retain documented information describing the review of the changes, authorization and actions arising from the review?		
48.	8.6	Release of products and services Does the organization implement planned arrangements, at appropriate stages, to verify that the product and services requirements have been met? Has the organization retained documented information on the release of products and services to provide evidence of conformity and traceability to the person authorizing the release?		

Quality System Checklist

Item No.	ISO Ref	Standard Requirements	Status A,N,N/A	Comments	
49.	8.7	Control of nonconforming outputs Does the organization ensure that outputs that do not conform to their requirements are identified and controlled to prevent their unintended use or delivery and are they dealt with in one or more of the following ways as listed in (a) to (d)? Does the organization retain documented information covering items listed (a) to (d)?			
50.	9	Performance Evaluation			
51.	9.1	Monitoring, measurement, analysis and evaluation			
52.	9.1.1	General Does the organization determine items (a) to (d) and evaluate the performance and effectiveness of the QMS? Is appropriate documented information retained as evidence of the results?			
53.	9.1.2	Customer satisfaction Does the organization monitor customer's perception of requirements?			
54.	9.1.3	Analysis and evaluation Does the organization analysis and evaluate appropriate data and information arising from monitoring and measurement? Are the results of analysis used to evaluate items (a) to (g)?			
55.	9.2	Internal Audit			
56.	9.2.1	Does the organization conduct internal audits at planned intervals to provide information on whether the QMS : - conforms to its requirements and the standard; - Is effectively implements and maintained?			
57.	9.2.2	Does the organization follow items (a) to (f) for internal audits?			
58.	9.3	Management Review Does the top management review the organizations QMS at planned intervals and carried out taking into considerations inputs listed in item 9.3.2 (a) to (f)?			
59.	9.3.1	General Has top management reviewed their QMS at planned intervals, to ensure its continuing suitability, adequacy, effectiveness and alignment with the strategic direction of the organization?			
60.	9.3.2	Management review inputs Is the management review planned and carried out taking into considerations items (a) to (f) inclusive?			
61.	9.3.3	Management review outputs Does the management review outputs include decisions and actions related to: - opportunities for improvement - any need for changes to the QMS - resource needs and are these outputs documented?			

Quality System Checklist

Item No.	ISO Ref	Standard Requirements	Status A,N,N/A	Comments	
62.	10	Improvement			
63.	10.1	General Does the organization determine and select opportunities for improvement and implement any necessary actions to meet customer requirements and enhance customer requirements? Do these include: <ul style="list-style-type: none"> - improving products and services to meet requirements; - correcting, preventing or reducing undesired effects; - improving performance and effectiveness of the QMS 			
64.	10.2	Nonconformity and corrective action			
65.	10.2.1	When nonconformity occurs, including any arising from complaints, does the organization follow items (a) to (f) inclusive? Are corrective actions appropriate to the effects of the nonconformities encountered?			
66.	10.2.2	Does the organization retain documented information of evidence of: <ul style="list-style-type: none"> - the nature of the nonconformities and any subsequent actions taken - the results of any corrective action? 			
67.	10.3	Continual Improvement Does the organization continually improve the suitability, adequacy and effectiveness of the QMS?			
68.					

OH&S MANAGEMENT SYSTEM CHECKLIST – ISO 45001:2018

Note: This checklist must be read in conjunction with the standard
(STATUS A = Acceptable; N = Not Acceptable; N/A = Not Applicable)

Item No.	ISO Ref	Standard Requirements	Status A,N,N/A	Comments
	4	Context of the organization		
1.	4.1	Understanding the organizations and its context Has the organization determined external and internal issues that are relevant to its purpose and that affect its ability to achieve the intended outcome(s) of its OH&S management system?		
2.	4.2	Understanding the needs and expectations of workers and other interested parties Has the organization determined the needs and expectations are, or could become, legal requirements and other requirements of the other interested parties, in addition to workers, that are relevant to the OH&S?		
3.	4.3	Determining the scope of the QMS Has the organization established the scope of the OH&S management system by considering the boundaries and applicability of items 4.1 and 4.2 above and the planned or performed work-related activities? Has the OH&S management system included the activities, products and services within the organization's control or influence that can impact the organization's OH&S performance? Is this scope available and maintained as documented information?		
4.	4.4	OH&S management system Is the OH&S management system, including the processes needed and their interactions, implemented maintained and continually improved by the organization according to the standard?		
	5	Leadership		
6.	5.1 5.1.1	Leadership and commitment General Has leadership and commitment to the OH&S been demonstrated by top management? Refer to items 5.1.1 (a) to (m)?		
7.	5.1.2	Customer focus Has leadership and commitment to the customer focus been demonstrated by top management? Refer to items 5.2.1 (a) to (c)?		
8.	5.2 5.2.1	OH&S Policy Establishing the OH&S policy Has top management established, implemented and maintained a OH&S policy that incorporates the requirements of items 5.2.1 (a) to (f)?		
9.	5.2.2	Communicating the OH&S policy Is the OH&S policy: - available and maintained as documented information; - communicated, understood and applied internally; - available to relevant interested parties, as appropriate;; - relevant and appropriate?		

Item No.	ISO Ref	Standard Requirements	Status A,N,N/A	Comments
10.	5.3	Organizational roles, responsibilities and authorities Does top management ensure that responsibilities and authorities for relevant roles within the OH&S management system are assigned, communicated and understood internally? Has top management assigned the responsibility and authority for items 5.3(a) to (b)? Are workers at each level of the organization assumed responsibility for those aspects of the OH&S management system over which they have control. Are responsibilities and authorities for relevant roles available and maintained as documented information?		
11.	5.4	Consultation and participation of workers Has the organization established, implemented and maintained a process(es) for consultation and participation of workers at all applicable levels and functions, and, where they exist, workers' representatives, in the development, planning, implementation, performance evaluation and actions for improvement of the OH&S management system? Refer to items 5.4 (a) to (e)		
	6	Planning		
12.	6.1 6.1.1	Actions to address risks and opportunities Have the risks and opportunities that need to be addressed been determined for issues in item 4.1 and requirements of items 4.2 and 4.3 to address items 6.1.1 (a) to (c)? Has the organization determined the risks and opportunities for the OH&S management system and its intended outcomes that need to be addressed, considering: - hazards; - OH&S risks and other risks; - OH&S opportunities and other opportunities; - legal requirements and other requirements? Has the organization, in its planning process(es), determined and assessed the risks and opportunities that are relevant to the intended outcomes of the OH&S management system associated with changes in the organization, its processes or the OH&S management system? In the case of planned changes, permanent or temporary, has this assessment been undertaken before the change is implemented? Are risks and opportunities and the process(es) and actions need to determine and address its risk and opportunities maintained in document information?		
13.	6.1.2 6.1.2.1	Hazard identification and assessment of risks and opportunities Has the organization established, implemented and maintained a process(es) for hazard identification that is ongoing and proactive? Refer to items 6.1.2.1 (a) to (h)		

OH&S Management System Checklist

Item No.	ISO Ref	Standard Requirements	Status A,N,N/A	Comments
14.	6.1.2.2	<p>Assessment of OH&S risks and other risks to the OH&S management system</p> <p>Has the organization established, implemented and maintained a process(es) to assess OH&S risk and other risks. Refer to items 6.1.2.2 (a) to (b)</p> <p>Has the organization's methodology(ies) and criteria for the assessment of OH&S risks defined with respect to their scope, nature and timing to ensure they are proactive rather than reactive and are used in a systematic way.</p> <p>Are methodology(ies) and criteria maintained and retained on documented information?</p>		
15.	6.1.2.3	<p>Assessment of OH&S opportunities and other opportunities for the OH&S management system</p> <p>Has the organization established, implemented and maintained a process(es) to assess OH&S opportunities and other opportunities. Refer to items 6.1.2.3 (a) to (b)</p>		
16.	6.1.3	<p>Determination of legal requirements and other requirements</p> <p>Has the organization established, implemented and maintained a process(es) to determine legal requirements and other requirements. Refer to items 6.1.3 (a) to (c)</p> <p>Are legal requirements and other requirements maintained and retained in documented information?</p>		
17.	6.1.4	<p>Planning action</p> <p>Has the organization planned actions to:</p> <ul style="list-style-type: none"> - address these risks and opportunities; - address legal requirements and other requirements; - prepare for and respond to emergency situations? <p>Has the organization planned how to:</p> <ul style="list-style-type: none"> - integrate and implement the actions into its OH&S management system processes or other business processes; - evaluate the effectiveness of these actions? <p>Has the organization taken into account the hierarchy of controls and outputs from the OH&S management system when planning to take action?</p> <p>Has the organization considered best practices, technological options and financial, operational and business requirements when planning its actions?</p>		
18.	6.2 6.2.1	<p>OH&S objectives and planning to achieve them</p> <p>Has the organization established OH&S objectives at relevant functions and levels in order to improve OH&S management system and OH&S performance? Refer to items 6.2.1 (a) to (f)?</p>		
19.	6.2.2	<p>Planning to achieve OH&S objectives</p> <p>Has the organization planned on achieving OH&S objectives? Refer to items 6.2.2 (a) to (f)</p> <p>Is OH&S objectives and plans to achieve them maintained and retained in documented information?</p>		

Item No.	ISO Ref	Standard Requirements	Status A,N,N/A	Comments
	7	Support		
20.	7.1	Resources Has the organization determined and provided resources needed to establish, implement, maintain and continually improve the OH&S management system?		
21.	7.2	Competence Has the organization: <ul style="list-style-type: none"> - determined the necessary competence of worker(s) under its control that affects the performance and effectiveness of the QMS? - ensured these persons have appropriate competency? - if necessary, taken actions to acquire and maintain necessary competence, and evaluated effectiveness of these actions? - retained appropriate documented information as evidence of competence? 		
22.	7.3	Awareness Has the organization ensured that workers are aware of: <ul style="list-style-type: none"> - the OH&S policy and OH&S objectives; - their contributions to the effectiveness of the OH&S management system; - the implications of not conforming with the OH&S management system requirements? - the relevance of incidents and outcomes of investigations to them? - the relevance of hazards, OH&S risks and actions determined to them? - the ability to remove themselves from work situations that they consider present an imminent and serious danger to their life or health, as well as the arrangements for protecting them from undue consequences for doing so? 		
23.	7.4	Communication Has the organization determined the internal and external communications relevant to the OH&S management system including on what, when, with whom, how and who? Has the organization ensured the views of external interested parties are considered in establishing its communication process(es)? Has the organization when establishing its communication process(es) taken into account legal requirements and other requirements and ensured the OH&S information to be communicated is consistent with information generated within the OH&S management system, and is reliable? Has the organization responded to relevant communications on its OH&S management system? Is evidence of the organization's communication retained in documented information?		
24.	7.4.2	Internal communication Has the organization internally communicated information relevant to the OH&S management system among the various levels and functions of the organization, including changes to the OH&S management system, as appropriate and ensured its communication process(es) enables workers to contribute to continual improvement?		
25.	7.4.3	External communication Has the organization externally communicated information relevant to the OH&S management system, as established by the organization's communication process(es) and taking into account its legal requirements and other requirements?		
	7.5	Documented Information		

Item No.	ISO Ref	Standard Requirements	Status A,N,N/A	Comments
26.	7.5.1	General Does the organization's OH&S management include documented information: - required by this standard; - determined by the organization as being necessary for the effectiveness of the OH&S management system?		
27.	7.5.2	Creating and updating When creating and updating documented information has the organization ensured appropriate: - identification and description; - format; - review and approval for suitability and adequacy?		
28.	7.5.3	Control of documented information Is documented information required by the OH&S management system and this standard controlled to ensure: - it is available and suitable for use; - it is adequately protected? For the control of documented information are the following activities addressed: - distribution, access, retrieval and use; - storage and preservation; - control of changes; - retention and disposition? Is external documented information applicable to the OH&S management system appropriately identified and controlled? Is documented information retained as evidence of conformity protected from unintended alterations?		
	8	Operation		
29.	8.1 8.1.1	Operational planning and control Does the organization plan implement and control the processes (see item 4.4) needed to meet the requirements of the OH&S management system, and to implement the actions determined in item 6, by: - establishing the criteria for the process and acceptance; - implementing control of the processes; - determining, maintaining and retaining documented information; - adapting work to workers? At multi-employer workplaces, has the organization coordinated the relevant parts of the OH&S management system with the other organizations?		
30.	8.1.2	Eliminating hazards and reducing OH&S risks Has the organization established, implemented and maintained a process(es) for the elimination of hazards and reduction of OH&S risks using the hierarchy of controls in 8.1.2 items (a) to (e)?		
31.	8.1.3	Management of change Has the organization established a process(es) for the implementation and control of planned temporary and permanent changes that impact OH&S performance including items in 8.1.3 (a) to (d)?		
32.	8.1.4 8.1.4.1	Procurement Has the organization established, implemented and maintained a process(es) to control the procurement of products and services in order to ensure their conformity to its OH&S management system?		

OH&S Management System Checklist

Item No.	ISO Ref	Standard Requirements	Status A,N,N/A	Comments
33.	8.1.4.2	<p>Contractors</p> <p>Has the organization coordinated its procurement process(es) with its contractors, in order to identify hazards and to assess and control the OH&S risks arising from item in 8.1.4.2 (a) to (c)?</p> <p>Has the organization ensured that the requirements of its OH&S management system are met by contractors and their workers?</p> <p>Has the organization's procurement process(es) defined and have applied occupational health and safety criteria for the selection of contractors?</p>		
34.	8.1.4.3	<p>Outsourcing</p> <p>Has the organization ensured that outsourced functions and processes are controlled?</p> <p>Has the organization ensured that its outsourcing arrangements are consistent with legal requirements and other requirements and with achieving the intended outcomes of the OH&S management system.</p> <p>Has the organization defined within the OH&S management system the type and degree of control to be applied to these functions and processes?</p>		
35.	8.2	<p>Emergency preparedness and response</p> <p>Has the organization established, implemented and maintained a process(es) needed to prepare for and respond to potential emergency situations, as identified in 6.1.2.1. including item in 8.2 (a) to (g)?</p>		
	9	Performance Evaluation		
	9.1	Monitoring, measurement, analysis and evaluation		
36.	9.1.1	<p>General</p> <p>Does the organization determine items (a) to (e) and evaluate the performance and effectiveness of the OH&S management system?</p> <p>Has the organization evaluated OH&S performance and determined the effectiveness of the OH&S management system?</p> <p>Has the organization ensured monitoring and measuring equipment is calibrated or verified as applicable, and is used to maintained as appropriate?</p> <p>Is appropriate documented information retained as evidence of the results?</p>		
37.	9.1.2	<p>Evaluation of compliance</p> <p>Has the organization established, implemented and maintained a process(es) for evaluating compliance with legal requirements and other requirements? Refer to items 9.1.2 (a) to (d)</p>		
	9.2	Internal Audit		
38.	9.2.1	<p>General</p> <p>Does the organization conduct internal audits at planned intervals to provide information on whether the OH&S management system:</p> <ul style="list-style-type: none"> - conforms to its requirements and the standard; - Is effectively implements and maintained? 		
39.	9.2.2	<p>Internal audit programme</p> <p>Does the organization follow items (a) to (f) for internal audits?</p>		

Item No.	ISO Ref	Standard Requirements	Status A,N,N/A	Comments
40.	9.3	Management Review Does the top management review the organizations OH&S management system at planned intervals to ensure its continuing suitability, adequacy, effectiveness and carried out taking into considerations inputs listed in item 9.3 (a) to (g)?		
41.	9.3.1	General Has top management reviewed their OH&S management system at planned intervals, to ensure its continuing suitability, adequacy, effectiveness and alignment with the strategic direction of the organization?		
42.	9.3.2	Management review inputs Is the management review planned and carried out taking into considerations items (a) to (f) inclusive?		
43.	9.3.3	Management review outputs Does the management review outputs include decisions and actions related to: <ul style="list-style-type: none"> - the continuing suitability, adequacy and effectiveness of the OH&S management system in achieving - continual improvement opportunities; - any need for changes to the OH&S management system; - resources needed; - actions, if needed; - opportunities to improve integration of the OH&S management system with other business processes; - any implications for the strategic direction of the organization. Has the organization communicated the relevant outputs of management reviews to workers, and, where they exist, workers' representatives? Is evidence of results of management reviews retained in documented information?		
	10	Improvement		
44.	10.1	General Does the organization determine and select opportunities for improvement and implement any necessary actions to achieve the intended outcomes of its OH&S management system?		
45.	10.2	Incident, nonconformity and corrective action When nonconformity occurs, including any arising from complaints, does the organization follow items (a) to (g) inclusive? Are corrective actions appropriate to the effects of the nonconformities encountered? Does the organization retain documented information of evidence of: <ul style="list-style-type: none"> - the nature of the nonconformities and any subsequent actions taken - the results of any corrective action? 		
46.	10.3	Continual Improvement Does the organization continually improve the suitability, adequacy and effectiveness of the OH&S management system? Refer to items 10.3 (a) to (e)		

OH&S Management System Checklist

Item No.	ISO Ref	Standard Requirements	Status A,N,N/A	Comments

ENVIRONMENTAL MANAGEMENT SYSTEM CHECKLIST – ISO14001:2015**Note: This checklist must be read in conjunction with the standard**

(STATUS A = Acceptable; N = Not Acceptable; N/A = Not Applicable)

Item No.	ISO Ref	Standard Requirements	Status A,N,N/A	Comments
	4	Context of the organization		
1.	4.1	Understanding the organizations and its context Has the organization determined 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 (EMS)? Do such issues include environmental conditions being affected by or capable of affecting the organization? Has the organisation considered climate change as an external factor?		
2.	4.2	Understanding the needs and expectation of interested parties Has the organization determined the following: - the interested parties that are relevant to the EMS; - the relevant needs and expectations of these interested parties; - which of these needs and expectations become its compliance obligations?		
3.	4.3	Determining the scope of the EMS Has the organization determined the boundaries and applicability of the EMS in establishing its scope? Have item 4.3 (a) to (e) been considered in determining this scope? Is this scope available and maintained as documented information?		
4.	4.4	EMS Has the organization established, implemented and maintained and continually improved an EMS, including the processes needed and their interactions to achieve the intended outcomes, including enhancing its environmental performance? Has the knowledge gained in 4.1 and 4.2 been considered when establishing and maintaining the EMS?		
	5	Leadership		
5.	5.1	Leadership and commitment Has leadership and commitment to the EMS been demonstrated by top management? Refer to items 5.1. (a) to (i).		
6.	5.2	Environmental Policy Has top management established, implemented and maintained an environmental policy that within the defined scope incorporates the requirements of items 5.2. (a) to (e)?		
7.	5.2. cont	Is the environmental policy: - maintained as documented information; - communicated within the organization; - available to interested parties?		

Item No.	ISO Ref	Standard Requirements	Status A,N,N/A	Comments
8.	5.3	Organizational roles, responsibilities and authorities Does top management ensure that responsibilities and authorities for relevant roles are assigned and communicated internally? Has top management assigned the responsibility and authority for: - ensuring the EMS conforms to the standard; - reporting on the performance of the EMS to top management?		
	6	Planning		
	6.1	Actions to address risks and opportunities		
9.	6.1.1	General Has the organization established, implemented and maintained the processes needed to meet the requirements in 6.1.1 to 6.1.4? Has the organization when planning for the EMS considered the following: - issues referred to in 4.1; - requirements referred to in 4.2; - scope of its EMS and determined the risks and opportunities, related to its environmental aspects(see 6.1.2), compliance obligations (see 6.1.3) and other issues and requirements, identified in 4.1 and 4.2 that need to be addressed to: - give assurance that the EMS can achieve its intended outcomes; - prevent or reduce undesired effects; - achieve continual improvement?		
10.	6.1.1 cont.	Has the organization, within the scope of the EMS, determined emergency situations, including those that can have environmental impact?		
11.	6.1.1 cont.	Has the organization maintained documented information on its: - risks and opportunities that need to be addressed; - process(es) needed in 6.1.1 to 6.1.4 to have the confidence that they are carried out as planned?		
12.	6.1.2	Environmental aspects Has the organization, within the defined scope of the EMS, determined the environmental aspects of its activities, products and services and their associated environmental impacts?		
13.	6.1.2 cont.	Has the organization taken into account, when determining environmental aspects: - change, including planned or new developments, and new or modified activities, products and services? - abnormal conditions and reasonably foreseeable emergency situations?		
14.	6.1.2 cont.	Has the organization determined those aspects that have or can have a significant environmental impact and communicated these aspects internally?		
15.	6.1.2 cont.	Has the organization maintained documented information on its: - environmental aspects and associated impacts; - criteria used to determine its significant aspects; - significant environmental aspects?		

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16.	6.1.3	<p>Compliance obligations</p> <p>Does the organization:</p> <ul style="list-style-type: none"> - determine and have access to the compliance obligations related to its aspects; - determine how these compliance obligations apply; - taken these compliance obligations into account in managing the EMS? <p>Has the organization maintained documented information on its compliance obligations?</p>		
17.	6.1.4	<p>Planning action</p> <p>Has the organization planned</p> <p>(a) to take actions to address its:</p> <ul style="list-style-type: none"> - significant environmental aspects; - compliance obligations; - risks and opportunities identified in 6.1.1? <p>(b) how to;</p> <ul style="list-style-type: none"> - integrate and implement the actions into the EMS processes (see 6.2, 7, 8 and 9.1); - evaluate the effectiveness of these actions (see 9.1); 		
	6.2	Environmental objectives and planning to achieve them		
18.	6.2.1	<p>Environmental objectives</p> <p>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 considered its risks and opportunities?</p>		
19.	6.2.1 cont.	<p>Are the environmental objectives:</p> <ul style="list-style-type: none"> - consistent with the environment policy; - measurable (if practicable); - Monitored; - communicated; - updated as appropriate? 		
20.	6.2.1 cont.	Does the organization maintain documented information on the environmental objectives?		
21.	6.2.2	<p>Planning actions to achieve environmental objectives</p> <p>When planning how to achieve its environmental objects does the organization determine:</p> <ul style="list-style-type: none"> - what will be done; - what resources will be require; - who will be responsible when it will be completed; - how results will be evaluated? <p>Has the organization considered how actions to achieve its environmental objectives can be integrated into its processes?</p>		
	7	Support		
22.	7.1	<p>Resources</p> <p>Has the organization determined and provided the resources needed to establish, implement, maintain and continually improve the EMS?</p>		

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23.	7.2	Competence Has the organization: (a) determined the necessary competence of person(s) doing work under its control that affects the 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 training need for managing the EMS; (d) where applicable, taken actions to acquire the necessary competence, and evaluate the effectiveness of these actions? Has the organization retained appropriate documented information as evidence of competence?		
24.	7.3	Awareness Has the organization ensured that persons doing work under its control are aware of: (a) the environmental policy; (b) the significant aspects and related or potential impacts associated with their work; (c) their contribution to the effectiveness of the EMS; (d) implications of not conforming with the EMS, including not fulfilling its compliance obligations?		
	7.4	Communication		
25.	7.4.1	General Has the organisation established , implemented and maintained process(es) needed for internal and external communication relevant to the EMS, including: (a) on what; (b) when to; (c) with whom; (d) how to?		
26.	7.4.1 cont.	Has the communication process(es); - taken into account its compliance obligation; - ensured that environmental infor.communicated is consistent with info. generated within the EMS and is reliable?		
27.	7.4.1 cont.	Has the organisation responded to relevant communication on its EMS and retained documented info of its communication, as appropriate?		
28.	7.4.2	Internal communication Has the organisation: (a) Internally communicated info relevant to the EMS and changes as appropriate (b) Ensured that its communication process(es) enable persons to contribute to continual improvement?		
29.	7.4.3	External communication Has the organisation externally communicated information relevant to the EMS as required by its compliance obligations?		
	7.5	Documented Information		
30.	7.5.1	General Does the organization's EMS include documented information: - required by this standard; - determined by the organization as being necessary for the effectiveness of the EMS?		

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31.	7.5.2	Creating and updating When creating and updating documented information has the organization ensured appropriate: - identification and description - format - review and approval for suitability and adequacy?		
32.	7.5.3	Control of documented information Is documented information required by the EMS and this standard controlled to ensure: - it is available and suitable for use; - it is adequately protected?		
33.	7.5.3 cont.	For the control of documented information are the following activities addressed: - distribution, access, retrieval and use; - storage and preservation - control of changes - retention and disposition ?		
34.	7.5.3 cont.	Is external documented information applicable to the EMS appropriately identified and controlled?		
	8	Operation		
35.	8.1	Operational planning and control Does the organization establish, implement, control and maintain the processes needed to meet the EMS requirements, and to implement the actions identified in item 6.1 and 6.2, by: - establishing operating the criteria for the process(es); - implementing control of the processes, in accordance with the operating criteria?		
36.	8.1 (cont.)	Does the organisation control planned changes and review the consequences of unintended changes as necessary?		
37.	8.1 (cont.)	Does the organisation ensure that outsourced processes are controlled or influenced as defined in the EMS?		
38.	8.1 (cont.)	Has the organisation consistent with a life cycle perspective done (a) to (d)?:		
39.	8.1 (cont.)	Does the organisation maintain documented info to the extent necessary to have confidence that the processes have been carried out as planned?		
40.	8.2	Emergency preparedness and response Does the organisation establish, implement and maintain processes needed to prepare for and respond to potential emergency situations identified in 6.1.1?		
41.	8.2 (cont.)	Does the organisation do (a) to (f) with regard to emergency situations?		
42.	8.2 (cont.)	Does the organisation maintain documented info to the extent necessary to have confidence that the processes have been carried out as planned?		
43.	9	Performance Evaluation		
44.	9.1	Monitoring, measurement, analysis and evaluation		
45.	9.1.1	General Does the organization determine items (a) to (e) and monitor, measure analyse and evaluate its environmental performance?		
46.	9.1.1 (cont.)	Does the organization ensure that calibrated or verified monitoring and measurement is used and maintained as appropriate?		

EMS Checklist

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47.	9.1.1 (cont.)	Does the organization evaluate its environmental performance and the effectiveness of its EMS?			
48.	9.1.1 (cont.)	Has the organisation communicated relevant environmental performance info both internally and externally, as identified in its communication processes and as required by its compliance obligations?			
49.	9.1.1 (cont.)	Does the organisation retain appropriate documented info as evidence of the monitoring, measurement, analysis and evaluation results?			
50.	9.1.2	Evaluation of compliance Has the organisation established, implemented and maintained the process(es) needed to evaluate fulfilment of its companies obligations including the frequency, action if needed and maintenance of knowledge and understanding of its compliance status?			
51.	9.1.2 (cont.)	Has the organisation retained documented info as evidence of the compliance evaluation results?			
52.	9.2	Internal Audit			
53.	9.2.1	General Does the organization conduct internal audits at planned intervals to provide information on whether the EMS : (a) conforms to its requirements and the standard (b) is effectively implemented and maintained?			
54.	9.2.2	Internal audit programme Has the organisation established and maintained an internal audit programme as required and that considers the importance of environmental processes and results of previous audits? Does the organization follow items (a) to (c) for internal audits?			
55.	9.3	Management Review Has top management reviewed their EMS at planned intervals, to ensure its continuing suitability, adequacy, effectiveness and does the management review include consideration of (a) to (g)?			
56.	9.3 (cont.)	Does the management review outputs include: - conclusions on the continuing suitability, adequacy and effectiveness of the EMS; - decisions related to continual improvement opportunities; - decisions related to any need for changes to the EMS, including resources; - actions, if needed, when environmental objectives have not been met; - opportunities to improve integration of the EMS with other business processes, if needed; - any implications for the strategic direction of the organization?			
57.	9.3 (cont.)	Has the organisation maintained documented info as evidence of management reviews?			
58.	10	Improvement			
59.	10.1	General Does the organization determine opportunities for improvement and implement any necessary actions to achieve the intended outcomes of its EMS?			
60.	10.2	Nonconformity and corrective action			

EMS Checklist

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61.	(cont.)	When nonconformity occurs does the organization follow items (a) to (e) inclusive? Are corrective actions appropriate to the effects of the nonconformities encountered, including the environmental impacts?			
62.	(cont.)	Does the organization retain documented information as evidence of: - the nature of the nonconformities and any subsequent actions taken - the results of any corrective action?			
63.	10.3	Continual Improvement Does the organization continually improve the suitability, adequacy and effectiveness of the EMS to enhance the environmental performance?			
64.					