

	UGANDA NATIONAL BUREAU OF STANDARDS	Document No: CERT/SC/F01D	
	CERTIFICATION SCHEME	Effective Date: 21/03/2022	
Document Title:	ISO 14001:2015 SELF-ASSESSMENT CHECKLIST	Issue No: 01	Rev. 00

ISO 14001:2015 specifies requirements for an environmental management system that an organization can use to enhance its environmental performance. This International Standard helps an organization achieve the intended outcomes of its environmental management system, which provide value for the environment, the organization itself and interested parties. Consistent with the organization’s environmental policy, the intended outcomes of an environmental management system include:

- enhancement of environmental performance;
- fulfilment of compliance obligations;
- achievement of environmental objectives.

Self-examination for compliance with EMS ISO 14001: 2015

The questions in the self-examination questionnaire in the following pages go through the key requirements of Environmental Management System ISO 14001:2015; they are questions an organization asks itself for the specific purpose of helping organisations undertake a preliminary check of their readiness for an ISO 14001:2015 audit or assessment. This will give pointers to where an organization needs to improve. By completing this questionnaire your results will allow you to self-assess your organization and identify where you are in the implementation or transition process in relation to the main requirements of the standard. It cannot be emphasized too strongly that there are no standard ways of achieving compliance; rather there are hundreds of approaches to complying with any particular requirement. You need to focus on the requirement itself and to find the most convenient and cost-effective way to meet it in your particular situation.

With each question, mark your answers ✓ for Yes and X for No.

Yes	We meet this requirement fully- all requisite documents and implementation requirements have been met
No	No we do not meet this requirement at all

The numbers in the left hand column of the questionnaire refer to the relevant clauses in ISO 14001:2015
The higher the percentage of YES, total score on this questionnaire, the less you will have to do to become compliant.

Documented information needed to be maintained by your organization for the purpose of establishing the EMS

- (a) The scope of the EMS (clause 4.3)
- (b) The Environmental Policy (clause 5.2)
- (c) Risks and opportunities that need to be addressed (Clause 6.1.1)
- (d) Processes needed for the EMS (Clause 6.1.1)
- (e) environmental aspects and associated environmental impacts (Clause 6.1.2);
- (f) criteria used to determine its significant environmental aspects (Clause 6.1.2)
- (g) significant environmental aspects (Clause 6.1.2)
- (h) Compliance Obligations (Clause 6.1.3)
- (i) Environmental objectives (clause 6.2.1)
- (j) Evidence that processes have been carried out as planned (8.1)

NOTE: In this context “document” could be policy statements, procedures, specifications, calibration tables, charts, text books, posters, notices, memoranda, software, drawings, plans, etc. These may be on various media, whether hardcopy or electronic, and they may be digital, analog, photographic or written.



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Section A: Environmental Management System			
4.1 UNDERSTANDING THE ORGANISATION AND ITS CONTEXT			
a.	Have we determined the external and internal issues that are relevant to our organization's purpose and those that affect our ability to achieve the Intended outcomes of the EMS?		
4.2 UNDERSTANDING THE NEEDS AND EXPECTATIONS OF INTERESTED PARTIES			
a.	Have we determined the interested parties that are relevant to the Environmental Management System (EMS) ?		
b.	Have we determined the relevant needs and expectations (i.e. requirements) of these interested parties;		
c.	Have we determined which of these needs and expectations become its compliance obligations?		
4.3 DETERMINING THE SCOPE OF THE ENVIRONMENTAL MANAGEMENT SYSTEM			
a.	Have we determined the boundaries and applicability of the EMS?		
	When determining this scope, did we consider the following? a) the external and internal issues referred to in 4.1; b) the compliance obligations referred to in 4.2; c) its organizational units, functions and physical boundaries; d) its activities, products and services; e) its authority and ability to exercise control and influence.		
b.	Have we documented the scope of the EMS?		
c.	Have we made the scope of the EMS available to interested parties?		
4.4 ENVIRONMENTAL MANAGEMENT SYSTEM			
a.	Have we determined (a) the processes for the environment management system and how they are to be applied? (c) how processes interrelate?		



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	Have we considered the knowledge gained in Understanding the organization and its context, and Understanding the needs and expectations of interested parties when establishing and maintaining the environmental management system?		
5.0	LEADERSHIP AND COMMITMENT		
a.	<p>Do we demonstrate that top management is providing leadership and commitment to the EMS including taking accountability for:</p> <p>(a) The effectiveness of the EMS</p> <p>(b) Environmental Policy and objectives are established and compatible with our strategic direction and the context of the organisation.</p> <p>(c) Integration of the EMS into business processes</p> <p>(d) Establishment of objectives at relevant functional, process, departmental and individual levels with the business?</p> <p>(e) Ensuring the EMS is resource needs are availed</p> <p>(f) Communicating the importance of effective environmental management and conforming to the EMS requirements</p> <p>(g) Ensuring the EMS achieves its intended results</p> <p>(h) Directing and supporting persons to contribute to the effectiveness of the EMS.</p> <p>(i) Promoting continual improvement</p> <p>(j) Supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility.</p>		
5.2	ENVIRONMENTAL POLICY		
a	<p>Has top management established, implemented and maintained an environmental policy within the defined scope of EMS that is;</p> <p>(a) is appropriate to the purpose and context of the organisation</p>		



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	(b) Provides a framework for setting environmental objectives (c) has a commitment to the protection of the environment, including prevention of pollution and other specific commitments relevant to the context of the organisation. (d) Includes a commitment to fulfil compliance obligations (e) Includes a commitment to continual improvement the EMS.		
b	Is the EMS Policy a) maintained as documented information; b) communicated within the organization; c) be available to interested parties.		
5.3	ORGANIZATIONAL ROLES, RESPONSIBILITIES AND AUTHORITIES		
a.	Have we assigned and communicated responsibilities and authorities for relevant roles below; (a) Ensuring that the EMS conforms to the requirements of ISO 14001:2015 standard (b) reporting on the performance of the EMS to top management		
6.0 PLANNING			
6.1 ACTIONS TO ADDRESS RISKS AND OPPORTUNITIES			
a.	Have we determined the risks and opportunities that need to be addressed to: (a) assure the EMS achieves its intended outcomes (b) prevent or mitigate negative effects,		



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	<p>(c) achieve continual improve</p> <p>Have we determined potential emergency situations, including those that can have an environmental impact?</p> <p>Have we documented information of our;</p> <ul style="list-style-type: none"> a) risks and opportunities that need to be addressed b) process(es) needed to meet the requirements of the standard, to the extent necessary to have confidence the processes are carried out as planned. 		
6.1.2	<p>Environmental aspects</p> <p>Have we determined the environmental aspects of our activities, products and services that we can control and those that we can influence, and their associated environmental impacts?</p> <p>When determining environmental aspects, do we take into account:</p> <ul style="list-style-type: none"> a) change, including planned or new developments, and new or modified activities, products and services; b) abnormal conditions and reasonably foreseeable emergency situations. <p>Do we have an established criteria for determining aspects that have or can have a significant environmental Impact?</p> <p>Do we have documented information of our:</p> <ul style="list-style-type: none"> a) environmental aspects and associated environmental impacts; b) criteria used to determine our significant environmental aspects; c) Significant environmental aspects. 		



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6.1.3	<p>Compliance obligations Have we:</p> <ul style="list-style-type: none"> a) determined and have access to the compliance obligations related to our environmental aspects; b) determined how these compliance obligations apply to the organization; c) considered these compliance obligations when establishing, implementing, maintaining and continually improving its environmental management system. d) documented our compliance obligations 		
6.1.4	<p>Planning action Have we planned:</p> <ul style="list-style-type: none"> a) to take actions to address significant environmental aspects, compliance obligations, risks and opportunities? <p>Have we planned how to:</p> <ul style="list-style-type: none"> a) integrate and implement the actions into our EMS processes b) evaluate the effectiveness of these actions 		
6.2.1	<p>Have we established environmental objectives at relevant functions and levels, taking into account the organisation's significant environmental aspects, associated compliance obligations, risks, and opportunities?</p> <p>Are the environmental objectives:</p> <ul style="list-style-type: none"> a) consistent with the environmental policy; b) measurable (if practicable); c) monitored; d) communicated; e) updated as appropriate. 		
	<p>Have we maintained documented information on the environmental objectives?</p>		
6.2.2	<p>In planning how to achieve our environmental objectives, have we determined;</p>		



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	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		
	Have we considered how actions to achieve our environmental objectives can be integrated into the organization's business processes?		
7.0	SUPPORT		
7.1.1	Resources-General Have we determined and provided the resources needed for for the establishment, implementation, maintenance and continual improvement of the EMS?		
7.2	Competence Have we <ul style="list-style-type: none"> (a) determined the necessary competence of person(s) that could affect the EMS? (b) ensured that these person(s) are competent on the basis of appropriate education, training, or experience? (c) taken actions to access the necessary competence where applicable? (d) retained appropriate documented information as evidence of competence? (e) determined training needs associated with its environmental aspects and its environmental management system? 		
	What documentation have we retained as evidence of competence?		
7.3	Awareness Have we ensured that person(s) doing work under the control of our business are aware of; <ul style="list-style-type: none"> (a) the environmental policy and relevant environmental objectives 		



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	<p>(b) the significant environmental aspects and related actual or potential environmental impacts associated with their work;</p> <p>(c) their contribution to the effectiveness of the EMS, including the benefits of enhanced environmental performance;</p> <p>(d) the implications of not conforming with the environmental management system requirements, including not fulfilling the organization's compliance obligations</p>		
7.4	<p>Communication Have we established, implemented and maintained the process(es) needed for internal and external communications relevant to the environmental management system, including;</p> <p>(a) what will be communicated</p> <p>(b) when to communicate</p> <p>(c) with whom to communicate</p> <p>(d) how to communicate</p> <p>When establishing our communication process(es), did we;</p> <p>a) take into account its compliance obligations;</p> <p>b) ensure that environmental information communicated is consistent with information generated within the environmental management system, and is reliable</p> <p>What shows that we respond to relevant communications on our environmental management system?</p> <p>Do we retain documented information as evidence of our communications as appropriate?</p> <p>Can we demonstrate that we;</p>		



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	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 our communication process(es) enable(s) persons doing work under the organization's control to contribute to continual improvement.		
7.4.3	External Communication What shows that we externally communicate information relevant to the environmental management system, as established by the organization's communication process(es) and as required by our compliance obligations?		
7.5	DOCUMENTED INFORMATION		
7.5.1	General Does our EMS include (a) documented information required by the standard (b) documented information necessary for the effectiveness of the EMS		
7.5.2	Creating and updating Do we ensure appropriate; a) identification and description (such as 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 Do we ensure documented information required by the EMS is controlled to ensure: (a) it is available and suitable for use (b) it is adequately protected For control of documented information, do we address the following activities as applicable? (a) distribution, access, retrieval and usage (b) storage and preservation		



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	(c) Control of changes (version control) (d) retention and disposition (e) external documents are identified as appropriate, and controlled.		
8.0. Operation			
8.1	<p><u>Operational planning and control</u> Have we established, implemented, controlled and maintained implemented the processes needed for EMS by;</p> <ul style="list-style-type: none"> (a) establishing operating criteria for the process(es); (b) implementing control of the process(es), in accordance with the operating criteria. (c) ensured that outsourced processes are controlled or influenced. <p>Can we demonstrate control of planned changes and review the consequences of unintended changes, action taken to mitigate any adverse effects, as necessary.</p> <p>Consistent with a life cycle perspective have we;</p> <ul style="list-style-type: none"> a) established controls to ensure that our environmental requirement(s) is (are) addressed in the design and development process for the product or service, considering each life cycle stage; b) determined our environmental requirement(s) for the procurement of products and services, as appropriate; c) communicated our relevant environmental requirement(s) to external providers, including contractors; d) considered the need to provide information about potential significant environmental impacts 		



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	<p>associated with the transportation or delivery, use, end-of-life treatment and final disposal of our products and services.</p> <p>Do we have documented information to the extent necessary to have confidence that the processes have been carried out as planned?</p>		
8.2	<p><u>Emergency preparedness and response</u></p> <p>Have we established the process(es) needed to prepare for and respond to potential emergency situations?</p> <p>How do we demonstrate that we;</p> <ul style="list-style-type: none"> 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 our control. <p>What shows that we maintain documented information to the extent necessary to have confidence that the process(es) is (are) carried out as planned?</p>		



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<p>9.0 9.1 9.1.1</p>	<p><u>PERFORMANCE EVALUATION</u> Monitoring, measurement, analysis and evaluation General</p> <p>Do we monitor, measure, analyse and evaluate its environmental performance?</p> <p>Have we determined</p> <ul style="list-style-type: none"> (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 monitoring and measurement is to be performed (e) when results from monitoring and measurement will be analysed and evaluated <p>Do we:</p> <ul style="list-style-type: none"> a) ensure that calibrated or verified monitoring and measurement equipment is used and maintained, as appropriate; b) communicate relevant environmental performance information both internally and externally, as identified in our communication process(es) and as required by our compliance obligations; c) evaluate its environmental performance and the effectiveness of the environmental management system.; d) retain documented information as evidence of the monitoring, measurement, analysis and evaluation results? 		
<p>9.1.2</p>	<p><u>Evaluation of compliance</u> Have we:</p>		



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	<p>(a) established the process(es) needed to evaluate fulfilment of our compliance obligations;</p> <p>(b) determined the frequency that compliance will be evaluated;)</p> <p>(c) evaluated compliance and taken action if needed?</p> <p>(d) maintained knowledge and understanding of our compliance status.</p> <p>Which documented information do we retain as evidence of the compliance evaluation result(s)?</p>		
<p>9.2 9.2.1</p>	<p><u>Internal audit</u> Do we conduct internal audits at planned intervals to ensure the EMS:</p> <p>(a) Conforms to our requirements</p> <p>(b) Conforms to the requirements of 14001:2015</p> <p>(c) Is effectively implemented and maintained</p>		
<p>9.2.2</p>	<p>Have we:</p> <p>(a) planned and implemented an effective audit program</p> <p>(b) defined the criteria and scope for each audit</p> <p>(c) selected auditors to ensure objectivity and impartiality of the audit process</p> <p>(d) ensured that the results are reported to relevant Management</p> <p>(e) retained documented information as evidence of the implementation of the audit programme and the audit results?</p>		
<p>9.3</p>	<p><u>Management Review</u> Does our Top management review our EMS at planned Intervals?</p> <p>What are the planned intervals for management reviews?</p>		



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	<p>Do our Management Review Inputs include;</p> <p>(a) the status of actions from previous management reviews</p> <p>b) changes in:</p> <p>1) external and internal issues that are relevant to the environmental management system;</p> <p>2) the needs and expectations of interested parties, including compliance obligations;</p> <p>3) its significant environmental aspects;</p> <p>4) risks and opportunities;</p> <p>d) the extent to which environmental objectives have been achieved;</p> <p>e) information on the EMS including</p> <ul style="list-style-type: none"> - nonconformities and corrective actions; - monitoring and measurement results; - fulfilment of its compliance obligations; - audit results; <p>f) adequacy of resources;</p> <p>g) relevant communication(s) from interested parties, including complaints;</p> <p>h) opportunities for continual improvement.</p> <p>Do our Management Review Outputs include;</p> <p>(a) conclusions on the continuing suitability, adequacy and effectiveness of the environmental management system;</p> <p>(b) decisions related to continual improvement opportunities;</p> <p>(c) decisions related to any need for changes to the environmental management system, including resources;</p>		



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	<p>(d) actions, if needed, when environmental objectives have not been achieved;</p> <p>(e) opportunities to improve integration of the environmental management system with other business processes, if needed;</p> <p>(f) any implications for the strategic direction of the organization.</p> <p>What do we retain as documented information for evidence of the results of management reviews?</p>		
<p>10 10.1</p>	<p><u>IMPROVEMENT</u> General Have we determined and selected opportunities for improvement and implemented necessary actions to achieve the intended outcomes of our environmental management system. ?</p>		
<p>10.2</p>	<p><u>Nonconformity and Corrective action</u> When a nonconformity occurs, , do we: (a) react to the nonconformity, and as applicable: - take action to control and correct it - deal with the consequences, including mitigating adverse environmental impacts; (b) evaluate the need for action to eliminate the cause(s) of the nonconformity, in order that it does not recur or occur elsewhere, by; - reviewing and analysing - determining the causes - determining if similar nonconformities exist, or could potentially occur (c) implement any action needed (e) review the effectiveness of any corrective action taken (e) make changes to the EMS if necessary</p>		



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	<p>Have we retained documented information as evidence of:</p> <p>(a) the nature of the nonconformities and any subsequent actions taken</p> <p>(b) the results of any corrective action</p>		
10.3	<p><u>Continual Improvement</u> Do we continually improve the the suitability, adequacy and effectiveness of the EMS?</p>		
Total score of Yes (√)			Percentage % Score
Total score of No (x)			Percentage % Score
Remarks in regards to readiness for certification:			