

**NHDOT Division of Operations
EIP-14-Form 14a Version 3
EMS EVALUATION CHECKLIST**

GENERAL REQUIREMENTS

Auditor Name and Date: _____

Facility Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

4.1

Conforms (1 - 5)

The bureau shall establish, document, implement, maintain and continually improve an environmental management system in accordance with the requirements of ISO 14001 Standard and determine how it will fulfill the requirements.	
The bureau shall define and document the scope of its environmental management system.	

NOTES:

OVERALL CONFORMANCE: YES NO

Scoring Key
1. No programs or activities were found supporting intent of EMS element.
2. At least one program or activity was in place supporting intent of EMS element.
3. Some programs or activities were in place supporting intent of EMS element.
4. Programs and activities substantially fulfill the intent of EMS element; could be implemented with minor adjustment
5. Sufficient programs and activities in place to fulfill the intent of EMS element.

EIP-1 ENVIRONMENTAL POLICY

Auditor Name and Date: _____

Facility Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

4.2 Top management shall define the bureau’s environmental policy and ensure that, within the defined scope of its environmental management system, the policy:

Conforms (1 - 5)

a) is appropriate to the nature, scale, and environmental impacts of its activities, products or services;	
b) includes a commitment to continual improvement and prevention of pollution;	
c) includes a commitment to comply with applicable legal requirements and with other requirements to which the bureau subscribes which relate to its environmental impacts;	
d) provides the framework for setting and reviewing environmental objectives and targets;	
e) is documented, implemented and maintained	
f) is communicated to all persons working for or on behalf of the bureau, and	
g) is available to the public.	

Scoring Key

1. No programs or activities were found supporting intent of EMS element.
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5. Sufficient programs and activities in place to fulfill the intent of EMS element.

PROCEDURE REQUIREMENTS

Is the Policy reviewed annually?

Are all related documents and records managed in accordance with EIP-9?

NOTES:

OVERALL CONFORMANCE: YES NO

EIP-2 IDENTIFYING ENVIRONMENTAL ASPECTS AND IMPACTS

Auditor Name and Date: _____

Facility Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

4.3.1 The bureau shall establish, implement and maintain a procedure(s):

Conforms (1 - 5)

a) to identify the environmental aspects of its activities, products and services within the defined scope of the environmental management system that it can control and those that it can influence taking into account planned or new developments, or new or modified activities, products and services, and	
b) to determine those aspects that have or can have significant impact(s) on the environment (i.e. significant environmental aspects)	
The bureau shall document this information and keep it up to date.	
The bureau shall ensure that the significant environmental aspects are taken into account in establishing, implementing and maintaining its environmental management system.	

Scoring Key

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4. Programs and activities substantially fulfill the intent of EMS element; could be implemented with minor adjustment
5. Sufficient programs and activities in place to fulfill the intent of EMS element.

PROCEDURE REQUIREMENTS

Have the Bureau’s EMS Team, OSC and the Bureau Administrator met annually to review the Bureau’s activities, products, and services been reviewed annually for their environmental interactions and potential environmental impacts?

Are all related documents and records managed in accordance with EIP-9?

NOTES:

OVERALL CONFORMANCE: YES NO

EIP-3 LEGAL AND OTHER REQUIREMENTS

Auditor Name and Date: _____

Facility Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

4.3.2 The bureau shall establish, implement and maintain a procedure(s):

Conforms (1 – 5)

a) to identify and have access to the applicable legal and other requirements to which the bureau subscribes, related to its environmental aspects and,	
b) to determine how these requirements apply to its environmental aspects.	
The bureau shall ensure that these applicable legal requirements and other requirements to which the bureau subscribes are taken into account in establishing, implementing and maintaining its environmental management system.	

Scoring Key

1. No programs or activities were found supporting intent of EMS element.
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5. Sufficient programs and activities in place to fulfill the intent of EMS element.

PROCEDURE REQUIREMENTS

Has OSC reviewed and revised the list of legal and other requirements according to the procedure?

Has OSC made the Bureau aware of other environmental requirements to which the Department or Division Subscribes?

Has the Bureau reviewed its inventoried list of environmental permits, licenses, and authorizations annually, and recorded the information?

Are all related documents and records managed in accordance with EIP-9?

NOTES:

OVERALL CONFORMANCE: YES NO

EIP-4 SETTING OBJECTIVES & TARGETS

Auditor Name and Date: _____

Facility Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

4.3.2 The bureau shall:

Conforms (1 - 5)

a) establish, implement and maintain documented environmental objectives and targets at each relevant functions and levels within the bureau.	
b) when establishing and reviewing its objectives and targets, take into account the legal and other requirements to which the bureau subscribes, and its significant environmental aspects. It shall also consider its technological options, its financial, operational and business requirements, and views of interested parties.	
Objectives and targets shall be measurable, where practicable, and consistent with the environmental policy, including the commitments to prevention of pollution, compliance with applicable legal and other requirements and to continual improvement.	

Scoring Key

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5. Sufficient programs and activities in place to fulfill the intent of EMS element.

PROCEDURE REQUIREMENTS

Has the Bureau defined quantifiable target metrics that can be tracked?
Have the Bureau EMS Team, OSC, and the Bureau Administrator met annually to review the Bureau's progress in meeting the previously set objectives and targets annually?
Has the Bureau documented and reported completed targets and objectives to OSC and other stakeholders?
Has the Bureau reviewed the objectives and targets matrix and the significant environmental aspect-impact summary sheet annually?
Are all related documents and records managed in accordance with EIP-9?

NOTES:

OVERALL CONFORMANCE: YES NO

EIP-5 ENVIRONMENTAL ACTION PLANS

Auditor Name and Date: _____

Facility Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

4.3.3 The bureau shall establish, implement and maintain a program(s) for achieving its objectives and targets. Program(s) shall include:

Conforms (1 - 5)

a) designation of responsibility for achieving objectives and targets at relevant functions and levels within the bureau, and	
b) the means and timeframe by which they are to be achieved.	

Scoring Key

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PROCEDURE REQUIREMENTS

Has the EMS Team developed metrics or Progress Indicators (PI) to track progress on each action?

Have baselines for each PI been established in order to measure against a specific starting point?

Have the EMS Team and OSC met quarterly to review progress on completing Targets and Objectives?

Were PI data and Target metrics summarized and presented to management in the annual Management Review?

Are all related documents and records managed in accordance with EIP-9?

NOTES:

OVERALL CONFORMANCE: YES NO

EIP-6 BUREAU, PERSONNEL, ACCOUNTABILITY AND RESPONSIBILITY

Auditor Name and Date: _____

Facility Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

4.4.1

Conforms (1 - 5)

Management shall ensure the availability of resources essential to establish, implement, maintain and improve the environmental management system. Resources include human resources and specialized skills, organizational infrastructure, technology, and financial resources.	
Roles, responsibilities, and authorities shall be defined, documented, and communicated in order to facilitate effective environmental management.	
The bureau's top management shall appoint a specific management representative(s) who, irrespective of other responsibilities, shall have defined roles, responsibilities and authority for:	
a) ensuring that environmental management system is established, implemented and maintained in accordance with the requirements of this International Standard;	
b) reporting to top management on the performance of the environmental management system for review, including recommendations for improvement.	

Scoring Key

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PROCEDURE REQUIREMENTS

Has the Bureau's organizational chart and summary been submitted to the Division Director?
Have the Bureau EMS Coordinator and OSC met annually to review the Bureau's organizational chart and summary?
Are all related documents and records managed in accordance with EIP-9?

NOTES:

OVERALL CONFORMANCE: YES NO

EIP-7 COMPETENCE TRAINING AND AWARENESS

Auditor Name and Date: _____

Facility Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

4.4.2

Conforms (1 - 5)

The bureau shall ensure that any person(s) performing tasks for or on its behalf that have the potential to cause a significant environmental impact(s) identified by the bureau is (are) competent on the basis of appropriate education, training or experience, and shall retain associated records.	
The bureau shall identify training needs associated with its environmental aspects and environmental management system. It shall provide training or take other action to meet these needs, and shall retain associated records.	
The bureau shall establish, implement and maintain a procedure(s) to make persons working for it or on its behalf aware of:	
a) the importance of conformity with the environmental policy and procedures and with the requirements of the environmental management system,	
b) the significant environmental aspects and related actual or potential impacts associated with their work, and the environmental benefits of improved personal performance,	
c) their roles and responsibilities in achieving conformity with the requirements of the environmental management system, and,	
d) the potential consequences of departure from specified operating procedures.	

Scoring Key

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PROCEDURE REQUIREMENTS

Have all required training topics and frequencies been listed in the training and summary matrix?

Have appropriate training materials been created or obtained for each identified topic?

Have qualified trainers been identified?

Have training sessions been conducted according to the matrix?

Has the training been documented?

Has the competence of employees with environmental roles and responsibilities been periodically assessed?

Have contractors been trained or otherwise instructed to abide by Department and Bureau environmental policies while on site?

Are all related documents and records managed in accordance with EIP-9?

NOTES:

OVERALL CONFORMANCE: YES NO

EIP-8 INTERNAL AND EXTERNAL COMMUNICATION AND REPORTING

Auditor Name and Date: _____

Facility Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

4.4.3 With regard to its environmental aspects and environmental management system, the bureau shall establish, implement and maintain a procedure(s) for:

Conforms (1 – 5)

a) internal communication between the various levels and functions of the bureau;	
b) receiving, documenting, and responding to relevant communication from external interested parties;	
The bureau shall decide whether to communicate externally about its significant environmental aspects, and shall document its decision. If the decision is to communicate, the bureau shall establish and implement a method(s) for external communication.	

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PROCEDURE REQUIREMENTS

Has a matrix been developed that includes strategies for internal and external communication, target audiences for information, and preferred modes of communication?

Has a person been assigned to manage each type of communication – internal, external, and that with contractors and suppliers?

Are external communications logged and status monitored?

Have response deadlines been developed?
Are they followed?

Are all related documents and records managed in accordance with EIP-9?

NOTES:

OVERALL CONFORMANCE: YES NO

EIP-9 DOCUMENTATION, DOCUMENT CONTROL AND RECORDS MANAGEMENT

Auditor Name and Date: _____

Facility Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

4.4.5 The bureau shall establish, implement and maintain a procedure(s) to:

Conforms (1 - 5)

a) approve documents for adequacy prior to issue,	
b) review and update as necessary and re-approve documents,	
c) ensure that changes and current revision status of documents are identified,	
d) ensure that relevant versions of applicable documents are available at points of use,	
e) ensure that documents remain legible and readily identifiable,	
f) ensure that documents of external origin determined by the bureau to be necessary for the planning and operation of the EMS are identified and their distribution controlled, and	
g) prevent the unintended use of obsolete documents and to apply suitable identification to them if they are retained for any purpose.	

4.5.4 The bureau shall:

a) establish and maintain records as necessary to demonstrate conformity to the requirements of its environmental management system and of the ISO 14001 International Standard, and the results achieved.	
b) establish, implement and maintain a procedure(s) for the identification, storage, protection, retrieval and disposal of records.	
Records shall be and remain legible, identifiable and traceable.	

Scoring Key

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5. Sufficient programs and activities in place to fulfill the intent of EMS element.

PROCEDURE REQUIREMENTS

Does OSC have a standardized controlled document format?

Have OSC and the EMS Team met annually to review controlled documents?

Have all appropriated documents been listed in the Environmental Documents Log (Form 9a)?

Has a method been developed to control the appropriate documents?

Has a method for distributing revised documents been developed? For removing obsolete documents?

Have key record been identified and listed in the Environmental Records log (Form 9b)?

Have file storage locations for records been developed?

Has OSC specified and implemented a record retention policy?

NOTES:

OVERALL CONFORMANCE: YES NO

EIP-10 MONITORING AND MEASUREMENT

Auditor Name and Date: _____

Facility Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

4.5.1 The bureau shall:

Conforms (1 - 5)

a) establish, implement and maintain a procedure(s) to monitor and measure, on a regular basis, the key characteristics of its operations that can have a significant environmental impact. The procedure(s) shall include the documenting of information to monitor performance, applicable operational controls and conformity with the bureau’s objectives and targets.	
b) ensure that calibrated or verified monitoring and measurement equipment is used and maintained and retain associated records.	

NOTES:

OVERALL CONFORMANCE: YES NO

<p>Scoring Key</p> <ol style="list-style-type: none"> 1. No programs or activities were found supporting intent of EMS element. 2. At least one program or activity was in place supporting intent of EMS element. 3. Some programs or activities were in place supporting intent of EMS element. 4. Programs and activities substantially fulfill the intent of EMS element; could be implemented with minor adjustment 5. Sufficient programs and activities in place to fulfill the intent of EMS element.

PROCEDURE REQUIREMENTS

Have key activity characteristics been identified for monitoring and measurement?
Have methods been identified to monitor and measure an activity's key characteristics?
Are additional methods required?
Are all related documents and records managed in accordance with EIP-9?

EIP-11 OPERATIONAL CONTROL

Auditor Name and Date: _____

Facility Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

4.4.6 The bureau shall identify and plan those operations that are associated with the identified significant environmental aspects consistent with its environmental policy, objectives and targets, in order to ensure that they are carried out under specified conditions by:

Conforms (1 - 5)

a) establishing, implementing and maintaining a documented procedure(s) to control situations where their absence could lead to deviations from the environmental policy and the objectives and targets:	
b) stipulating operating criteria in the procedure(s), and	
c) establishing, implementing and maintaining procedures related to the identified significant environmental aspects of goods and services used by the bureau and communicating relevant procedures and requirements to suppliers, including contractors.	

Scoring Key

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PROCEDURE REQUIREMENTS

Have operational control strategies been identified and listed in the operational controls matrix (Form 11a)?
Have the operational control procedures and/or work instructions been reviewed and determined to be adequate and effective?
Are new processes and activities reviewed for environmental considerations?
Are all related documents and records managed in accordance with EIP-9?

NOTES

OVERALL CONFORMANCE: YES NO

EIP-12 EMERGENCY PREPAREDNESS AND RESPONSE

Auditor Name and Date: _____

Facility Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

4.4.7 The bureau shall:

Conforms (1 - 5)

a) Establish, implement and maintain a procedure(s) to identify potential emergency situations and potential accidents that can have an impact(s) on the environmental and how to respond to them.	
b) Respond to actual emergency situations and accidents and prevent or mitigate associated adverse environmental impacts.	
c) Periodically review and, where necessary, revise its emergency preparedness and response procedures as necessary, in particular, after the occurrence of accidents or emergency situations.	
d) Periodically test such procedures where practicable.	

Scoring Key

1. No programs or activities were found supporting intent of EMS element.
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5. Sufficient programs and activities in place to fulfill the intent of EMS element.

PROCEDURE REQUIREMENTS

Have reasonably foreseeable incidents and emergencies been identified?

Have OSC and the Bureau's EMS Team met annually to review emergency procedures and plans?

Has emergency planning and response information been shared with outside officials as required?

Have emergency drills and preparatory exercises based on the emergency plans been conducted?

Have any emergency situations, environmental incidents, or potential noncompliances been fully reviewed and investigated by OSC and the EMS Team?

Have OSC and the EMS Coordinator documented all emergency planning and response activities, and the details of incidents in the Emergency Event Log (Form 12-b)?

Are all related documents and records managed in accordance with EIP-9?

NOTES:

OVERALL CONFORMANCE: YES NO

EIP-13 NONCONFORMITY, CORRECTIVE ACTION AND PREVENTIVE ACTION

Auditor Name and Date: _____

Facility Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

4.5.3 The bureau shall establish and maintain procedure(s) for dealing with actual and potential nonconformity (ies) and for taking corrective action and preventive action. The procedure(s) shall define requirements for:

Conforms (1 - 5)

a) identifying and correcting nonconformity(ies) and taking action(s) to mitigate their environmental impacts,	
b) investigating nonconformity(ies), determining their cause(s) and taking actions in order to avoid their recurrence,	
c) evaluating the need for action(s) to prevent nonconformity(ies) and implementing appropriate actions designed to avoid their occurrence,	
d) recording the results of corrective action(s) and preventive action(s) taken, and	
e) reviewing the effectiveness of corrective action(s) and preventive action(s) taken.	
Actions taken shall be appropriate to the magnitude of the problems and the environmental impacts incurred.	
The bureau shall ensure that any necessary changes are made to EMS documentation.	

Scoring Key

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4. Programs and activities substantially fulfill the intent of EMS element; could be implemented with minor adjustment
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PROCEDURE REQUIREMENTS

Are nonconformities investigated?

Do OSC and the Bureau EMS Team use root cause analysis to identify the nonconformity's origin?

Are corrective action plans developed and implemented to prevent the problem from occurring again?

Is responsibility for completing the corrective action plans assigned for implementation? A schedule developed? Progress tracked?

Do OSC and the Bureau EMS Team review and revise applicable operating procedures, work instructions, policies, or the EMS to reflect the corrective and preventative actions?

Is the Nonconformity, Preventative and Corrective Action Log (Form 13a) up to date?

Do OSC and the Bureau EMS Coordinator periodically review corrective and preventative actions for effectiveness?

Do OSC and the Bureau EMS Coordinator share lessons learned between Bureaus?

Are all related documents and records managed in accordance with EIP-9?

NOTES:

OVERALL CONFORMANCE: YES NO

EIP-14 ENVIRONMENTAL MANAGEMENT SYSTEM EVALUATION

Auditor Name and Date: _____

Facility Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

4.5.5 The bureau shall ensure that internal audits of the environmental management system are conducted at planned intervals to...

Conforms (1 - 5)

a) determine whether environmental management system 1) conforms to planned arrangements for environmental management, including the requirements of this International Standard, and 2) has been properly implemented and is maintained, and	
b) provide information on the results of the audit to management.	
Audit program(s) shall take into consideration the environmental importance of the operation(s) concerned and the results of previous audits.	

Audit procedure(s) shall be planned, established, implemented, and maintained that address:

a) the responsibilities and requirements for planning and conducting audits, reporting results and retaining associated records,	
b) the determination of audit criteria, scope, frequency and methods.	

Selection of auditors and conduct of the audits shall ensure objectivity and impartiality of the audit process.

Scoring Key
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5. Sufficient programs and activities in place to fulfill the intent of EMS element.

PROCEDURE REQUIREMENTS

Has an internal audit protocol been developed?

Are all related documents and records managed in accordance with EIP-9?

NOTES:

OVERALL CONFORMANCE: YES NO

EIP-15 COMPLIANCE EVALUATION

Auditor Name and Date: _____

Facility Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

4.5.2 The bureau shall:

	Conforms (1 - 5)
a) establish, implement and maintain a procedure(s) for periodically evaluating compliance with applicable legal requirements,	
b) evaluate compliance with other requirements to which it subscribes,	
c) keep records of the results of the periodic evaluations.	

Scoring Key

1. No programs or activities were found supporting intent of EMS element.
2. At least one program or activity was in place supporting intent of EMS element.
3. Some programs or activities were in place supporting intent of EMS element.
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5. Sufficient programs and activities in place to fulfill the intent of EMS element.

PROCEDURE REQUIREMENTS

Does the Bureau's Safety & Environmental Coordinator use the Findings Tracking Log to track progress toward returning to regulatory compliance until each finding is closed?

Are all Bureau plans, policies and procedures modified as needed to maintain regulatory compliance?

Does the Bureau EMS Coordinator report the results of evaluations and the status of the Bureau's regulatory compliance to Bureau management?

Are all related documents and records managed in accordance with EIP-9?

NOTES:

OVERALL CONFORMANCE: YES NO

EIP-16 MANAGEMENT REVIEW

Auditor Name and Date: _____

Facility Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

4.6

Conforms (1 - 5)

Top management shall review the bureau's environmental management system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness.	
Reviews shall include assessing opportunities for improvement and the need for changes to the EMS, including the environmental policy and environmental objectives and targets.	
Records of the management reviews shall be retained.	
Input to management reviews shall include:	
a) results of internal audits and evaluation of compliance with legal requirements and with other requirements to which the bureau subscribes,	
b) communication(s) from external interested parties, including complaints,	
c) the environmental performance of the bureau,	
d) the extent to which objects and targets have been met,	
e) status of corrective actions and preventive actions,	
f) follow-up actions from previous management reviews,	
g) changing circumstances, including developments in legal and other requirements related to its environmental aspects, and	
h) recommendations for improvement.	

Scoring Key

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PROCEDURE REQUIREMENTS

Are Management Reviews conducted annually?
Are Management Reviews documented?
Are all related documents and records managed in accordance with EIP-9?

NOTES:

OVERALL COMPLIANCE: YES NO