

## ISO 14001 EMS “Shall Statements”

Following is a listing of the 44 shall statements found in the ISO 14001 EMS Standard. Each statement has the corresponding ISO 14001 section number. This is only a reference and must be used in conjunction with the standard.

### General Clause

1. Shall develop EMS as required...4.1

### Policy

2. Top management shall define the organizations environmental policy... 4.2

### Aspects

3. Shall identify environmental aspects...4.3.1
4. Shall ensure aspects are related... in setting env. objectives 4.3.1
5. Shall keep this information up to date 4.3.1

### Legal and Other

6. Shall establish and maintain procedure to identify and have access to legal requirement 4.3.2

### Objectives and Targets

7. Shall establish and maintain documented environmental objectives and targets 4.3.3
8. Shall establish and maintain documented environmental objectives at each relevant function and level 4.3.3

### Environmental Management Program

9. Shall establish and maintain programs for achieving objectives and targets 4.3.4
10. Shall include designation of responsibility 4.3.4
11. Shall include the means and time frame 4.3.4
12. Shall be amended where relevant 4.3.4

### Structure and Responsibility

13. Roles, responsibilities and authorities shall be defined, documented and communicated 4.4.1
14. Management shall provide resources essential to implementation and control 4.4.1
15. Shall appoint specific management representative who ... have defined roles responsibilities and authority for:
  - a. Ensuring requirements are established, implemented and maintained
  - b. Reporting on performance to top management for review 4.4.1

### Training

16. Shall identify training needs 4.4.2

17. Shall require that all personnel whose work may create significant impact... received appropriate training. 4.4.2
18. Shall establish and maintain procedures to make employees ... aware of
  - a. The importance of conformance with policy, procedures and requirements
  - b. The significant environmental impacts, actual or potential of work activities and environmental benefits of improved personal performance
  - c. Roles and responsibilities in achieving conformance...including emergency preparedness and response
  - d. The potential consequences of departure from SOP's 4.4.2
19. Personnel shall be competent on basis of appropriate education, training and or experience 4.4.2

#### Communications

20. Shall establish and maintain procedures for,
  - a. internal communication between various levels and functions
  - b. receiving, documenting and responding to communication from outside parties 4.4.3
21. Shall consider processes for external communication on significant environmental aspects and record its decision 4.4.3

#### Documentation

22. Shall establish and maintain information, in paper or electronic form to:
  - a. Describe core element of management system and their interaction
  - b. Provide direction to related documentation 4.4.4

#### Document Control

23. Shall establish and maintain procedures for controlling all documents required by this standard to ensure:
  - a. Proper identification and handling
  - b. Reviewed and revised as necessary
  - c. Only current versions are in use
  - d. Obsolete documents are promptly removed to prevent unintended use
  - e. Obsolete documents are suitably marked and identified 4.4.5

#### Operational Control

24. Shall identify those operations and activities that are associated with significant environmental aspects in line with its policy, objectives and targets. 4.4.6
25. Shall plan these activities, including maintenance, in order to ensure that they are carried out under specified conditions by:
  - a. Establishing and maintaining documented procedures to cover situations where their absence could lead to deviations from environmental policy and the objectives and targets
  - b. Stipulating operating criteria in procedures (work instructions)
  - c. Establish and maintain procedures related to identifiable significant aspects or goods and services used by the organization and communicating relevant procedures and requirements to suppliers and contractors 4.4.6

#### Emergency Response and Preparedness

26. Shall establish and maintain procedures to identify the potential and for responding to accidents or emergency situations, and preventing and mitigating the environmental impacts associated with them 4.4.7

#### Monitor and Measure

27. Shall establish and maintain documented procedures to monitor and measure, on a regular basis, the key characteristics of its operations and activities that can have a significant impact on the environment. 4.5.1
28. This shall include the recording of information to track performance, relevant operational controls and conformance with objectives and targets 4.5.1
29. Monitoring and measuring equipment shall be calibrated and maintained and records of this process shall be retained according to organization's procedures. 4.5.1
30. Shall establish and maintain a documented procedure for periodically evaluating compliance with relevant environmental legislation and regulations. 4.5.1

#### Non-conformance and Corrective and Preventive Action

31. Shall establish and maintain procedures for defining responsibility and authority for handling and investigating non-conformances, taking action to mitigate any impacts caused, and for initiating and completing corrective and preventive action 4.5.2
32. Any corrective or preventive action taken to eliminate causes of actual and potential non-conformances shall be appropriate to magnitude of problems and commensurate with impact encountered 4.5.2
33. Shall implement and record any changes in the documented procedures resulting from corrective or preventive action 4.5.2

#### Records

34. Shall establish and maintain procedures for the identification, maintenance and disposition of environmental records. 4.5.3
35. These records shall include training records and the result of audits and reviews 4.5.3
36. Shall be legible, identifiable, and traceable to the activity, product or service involved 4.5.3
37. Environmental records shall be stored and maintained in such a way that they are readily retrievable and protected against damage, deterioration or loss. Retention times shall be established and recorded. 4.5.3
38. Shall be maintained as appropriate to the system and to the organization, to demonstrate conformance to the requirements of this international standard 4.5.3

#### Audits

39. Shall establish and maintain programs and procedures for periodic environmental management system audits to be carried out, in order to:
  - a. Determine whether or not the EMS
    - i. Conforms to planned arrangements for environmental management including the requirements of this standard
    - ii. Has been properly implemented and maintained; and
  - b. provide information on the results of audit to management 4.5.4
40. ... audit program, including any schedule shall be based on the environmental importance of the activity concerned and the results of previous audits 4.5.4
41. shall cover the audit scope frequency, and methodologies, as well as the responsibilities and requirement for conducting audits and reporting results 4.5.4

#### Management Review

42. Shall at intervals that it determines, review the EMS to ensure suitability, adequacy and effectiveness 4.6
43. Shall ensure that the necessary information is collected to allow management to carry out this evaluation 4.6
44. The review shall be documented 4.6