# KING'S COLLEGE LONDON
# ENVIRONMENTAL MANAGEMENT SYSTEM

**King's College LONDON**
University of London

---

### Title:  EMS/ EnMS AUDIT CHECKLIST

---

| Assessed During Audit | Audit Trail | OK | Major N/C (A) | Minor N/C (B) | Obs. (O) | Repeat obs. (R) | Objective Evidence |
|---|---|---|---|---|---|---|---|
| **Development Points** | | | | | | | |
| | Check that the corrective actions raised during last audit have been addressed (can assess effectiveness during following audit trails). | | | | | | |
| **Baseline** | | | | | | | |
| | Check if the following records are kept updated: environmental history of sites, log of stakeholders, site plans. | | | | | | |
| **Management Commitment** | | | | | | | |
| | Check that the policy(s) are appropriate to the scope and nature of the College, and have been signed off by the Principal. | | | | | | |
| | Check provision of resources to the EMS/ EnMS. | | | | | | |
| | Check the management review meetings considers appropriate information (4.6) (3.6) | | | | | | |
| | Check the records of the management review meetings show appropriate action. | | | | | | |
| | Check that appropriate information is submitted to the meetings. | | | | | | |
| | Check commitment of those involved. | | | | | | |
| | Check that responsibilities and times are | | | | | | |

♲ **Please consider the environment before printing this procedure**

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| | allocated to actions from the meetings. | | | | | | |

**Legal (and Other) Compliance (2.1, 4.2) (3.3, 3.5.2)**

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| | Check how any changes to legal requirements since last audit have been addressed. | | | | | | |
| | Select a range of legal requirements and check that the requirements are understood and controls are in place to meet them. | | | | | | |
| | Check compliance with any operational procedures in place for ensuring legal compliance (3.6) (3.4.6). | | | | | | |
| | Check what happens when any limits are breached. | | | | | | |
| | Review records to ensure compliance. | | | | | | |
| | Check that compliance with both legal and other requirements is regularly checked internally (4.2) (3.5.2). | | | | | | |
| | Review correspondence with regulators. | | | | | | |
| | Review any external reports related to legal requirements. | | | | | | |
| | Check awareness of personnel ensuring activities meet legal and other requirements. | | | | | | |
| | Other issues raised during audit, including commitment to legal compliance. | | | | | | |

**Energy/ Environmental Aspects (2.2) (3.3.1)**

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| | Check methodology for assessing significance of aspects (EMS should include normal, abnormal & emergency; EnMS should include energy factors). | | | | | | |
| | Check how changes to the College since the last audit have affected the aspects. | | | | | | |

**Continual Improvement**

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| | Check how objectives & targets are measured or monitored and progress recorded. | | | | | | |
| | Check whether details of plans are sufficient to follow progress. | | | | | | |
| | Check progress of select objectives against plan. | | | | | | |

| | | | | | | |
|---|---|---|---|---|---|---|
| | Check awareness of those responsible. | | | | | |
| | Check how progress is reported to management. | | | | | |
| | Check how new objectives are added to system. | | | | | |
| | Check whether the procedure is complied with in applying to issues other than audits. | | | | | |
| | Check records. | | | | | |
| | Check whether complaints lead to improvements. | | | | | |
| | Check how suggestions for improvements are identified and followed up. | | | | | |
| | Check how data collected and analysed to show effectiveness or improvement of system/ performance. | | | | | |

**Internal Audit (4.5) (3.5.5)**

| | | | | | | |
|---|---|---|---|---|---|---|
| | Check audits conducted in line with schedule. | | | | | |
| | Check the audits have been conducted in line with procedure. | | | | | |
| | Check competence of auditors. | | | | | |
| | Check whether objective evidence is available to substantiate conclusions. | | | | | |
| | Check whether audit reports clearly describe the issues raised against audit criteria. | | | | | |
| | Check supporting evidence. | | | | | |
| | Check the follow-up of the audits. | | | | | |
| | Check closure of any audit actions. | | | | | |
| | Check whether opportunities for improvement are identified and action taken. | | | | | |
| | Check awareness of staff interviewed of policy and their environmental impacts (2.4, 3.2) (3.2, 3.4.2). | | | | | |

**♻ Please consider the environment before printing this procedure**

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| | Any other issues raised during the audit trail. | | | | | | |

**Prevention of Pollution**

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| | Check whether any changes since last audit have affected the aspects identification, assessment or list of significant aspects. | | | | | | |
| | Check whether selected operational control procedures are properly implemented and complied with. | | | | | | |
| | Check maintenance procedures and records. | | | | | | |
| | Check control of contractors. | | | | | | |
| | Observe site for air emissions, effluent discharges, wastes management, pollution and resource use. | | | | | | |
| | Observe site for housekeeping and condition of equipment and any environmental risks. | | | | | | |
| | Check control of selected significant aspects and risks (other than by objectives). | | | | | | |
| | Check control of planning, research and development activities. | | | | | | |
| | Check controls of purchasing activities. | | | | | | |
| | Check display of safety information (eg. MSDS's). | | | | | | |
| | Check awareness of interviewees of risks, of potential for pollution and resource use their responsibilities and knowledge of policy (3.2). | | | | | | |
| | Check evidence of drills and training for emergency response. | | | | | | |
| | Check follow-up to drills or actual emergency. | | | | | | |
| | Test equipment (eg. Safety showers, fire exits), check fire extinguishers & hoses, spill kits and their locations. | | | | | | |
| | Check signage (emergency exits, etc). | | | | | | |
| | Check personnel's awareness of emergency | | | | | | |

| | | | | | | |
|---|---|---|---|---|---|---|
| | procedures. | | | | | |
| | Check awareness of staff interviewed of policy and their environmental impacts and their responsibilities (2.4, 3.2). | | | | | |
| | Check state and ease of retrieval of documents and records (3.5, 4.4). | | | | | |
| | Check commitment to pollution prevention (2.4). | | | | | |
| | Any other issues raised during the audit trail. | | | | | |
| **Control of Monitoring and Measurement (4.1) (3.5.1)** | | | | | | |
| | Check records of any monitoring/ measurement on operational controls. | | | | | |
| | Check calibration of monitoring equipment. | | | | | |
| | Check awareness of acceptance criteria and response of those monitoring/ measuring. | | | | | |
| | Check what actions taken when results outside acceptance criteria. | | | | | |
| | Check qualifications of the external organisations conducting monitoring programmes. | | | | | |
| | Check control/action on results of external reports. | | | | | |
| | Check monitoring method & results of incidents (near misses, etc). | | | | | |
| | Check accident records and reports. | | | | | |
| | Check equipment inspection records. | | | | | |
| | Comment on other issues that arise on control of monitoring and measurement. | | | | | |
| **Resources and Organisation (3.1, 3.2) (3.4.1, 3.4.2)** | | | | | | |
| | Check how any changes since last audit have been incorporated into the system. | | | | | |
| | Check the understanding and implementation of the roles and responsibilities of key personnel. | | | | | |

🖳 **Please consider the environment before printing this procedure**

| | | | | | | |
|---|---|---|---|---|---|---|
| | Check how resources are allocated to system. | | | | | |
| | Check whether training procedure is being used effectively. | | | | | |
| | Check records that demonstrate competence of staff and contractors who can affect significant aspects. | | | | | |
| | Check training records of some staff. Interview to check against records. | | | | | |
| | Check training materials to ensure it covers policy, environmental impacts, etc. | | | | | |
| | Check training of contractors. | | | | | |
| | Check effectiveness of training needs identification. | | | | | |
| | Check future training programmes are appropriate. | | | | | |
| **Communication/ Complaints (3.3) (3.4.3)** | | | | | | |
| | Check there is effective internal communication, including Policy and system effectiveness. | | | | | |
| | Check how information on performance is communicated to the staff/ students. | | | | | |
| | Check how the Policy is communicated effectively externally. | | | | | |
| | Check communications with other interested parties (community, suppliers, contractors, etc). | | | | | |
| | Check that complaints are recorded, investigated and action taken. | | | | | |
| | Comment on any other issues that arise during this audit trail. | | | | | |
| **Corrective and Preventative Actions (4.3) (3.5.3)** | | | | | | |
| | Check whether the corrective & preventative action procedure is complied with when applying to issues other than audits (eg. Complaints, suggestions for improvement). | | | | | |

**♲ Please consider the environment before printing this procedure**

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| | Check records. | | | | | | |
| | Check follow-up actions. | | | | | | |
| | Check root cause is reviewed, appropriate preventative action is proposed, implemented, validated & recorded. | | | | | | |
| | Check evidence for determining potential non-conformities and their causes, appropriate preventative action, implementation, validation & records, review. | | | | | | |
| | Check how data is collected and analysed to show effectiveness or improvement of system/ performance. | | | | | | |
| | Comment on any other issues raised during this audit trail. | | | | | | |
| **Document and Data Control (3.5, 4.4) (3.4.5, 3.5.4)** | | | | | | | |
| | Check the procedure for raising & altering document is complied with (including Policy). | | | | | | |
| | Check controls on software for electronic systems. | | | | | | |
| | Check current of documents are available at all the locations. | | | | | | |
| | Check for alteration of records. | | | | | | |
| | Check retention times for records are adhered to. | | | | | | |
| | Comment on other issues identified during audit. | | | | | | |

**Reference numbers written in blue relate to the EcoCampus standard.**
**Reference numbers written in purple relate to the BS EN 16001 standard.**

♻ **Please consider the environment before printing this procedure**