

[organization name]

Appendix 1 – Internal Audit Checklist for ISO 14001:2015

ISO 14001 Clause	Requirement of the standard	Compliant Yes/No	Evidence
4.1	Did the organization's external and internal issues include environmental conditions capable of affecting the organization?		
4.2-2	Did the organization determine relevant needs and expectations of the interested parties?		
4.2-3	Do some expectations from the organization become its compliance obligations?		
4.3-1	When determining the scope, had the organization considered external and internal issues referred to in 4.1?		
4.3-3	When determining the scope, had the organization considered its organizational units, functions, and physical boundaries?		
4.3-5	When determining the scope, had the organization considered its authority and ability to exercise control and influence?		
4.3-7	Does the organization maintain its scope as documented information?		
5.1-1	Did top management take accountability for the effectiveness of the organization's EMS?		
5.1-2	Does the top management ensure that the Environmental Policy and environmental objectives are compatible with the strategic direction and context of the organization?		

Commented [14A1]: 1) Note 1: The term "documented procedure" means that the standard requires the organization to establish, document, apply, and maintain the procedure.

Commented [14A2]: These are the requirements of the ISO 14001 standard; you should also insert the specific requirements from your own documentation.

Commented [14A4]: To be filled in during the audit – records, verbal statements, or auditor's personal observations that confirm the finding.

Commented [14A3]:

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5.1-3	Does the top management ensure integration of EMS requirements in the organization's business processes?		
5.1-5	Does the top management communicate about the importance of conforming to the EMS requirements?		
5.1-6	Does the top management ensure that the EMS achieves its intended outcomes?		
5.1-8	Does the top management promote continual improvement?		
5.1-9	Does the top management support other management roles to demonstrate leadership in their fields?		
5.2-2	Is the Environmental Policy appropriate for the purpose and context of the organization?		
5.2-4	Does the Environmental Policy include a commitment to the protection of the environment?		
5.2-5	Does the Environmental Policy help the organization to continually improve its EMS?		
5.2-7	Does the organization communicate its Environmental Policy within the organization and to interested parties?		
5.2-8	Has the organization documented its Environmental Policy?		
5.3-2	Did top management assigned person(s) responsible to ensure that the EMS conforms to the requirements of the standard?		
6.1.1-1	Has the organization determined its risks and opportunities?		
6.1.1-2	Are the organization's risk and opportunities related to environmental aspects, compliance obligations, or		

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	expectations of interested parties?		
6.1.1-3	Is the organization able to achieve the intended outcomes of its EMS?		
6.1.1-5	Does the organization have risks related to environmental conditions?		
6.1.1-6	Does the organization have opportunities related to environmental conditions?		
6.1.1-8	Does the organization have opportunities related to expectations of interested parties?		
6.1.1-9	Did the organization determine its potential emergency situations?		
6.1.1-11	Does the organization have a method to determine its EMS risks and opportunities?		
6.1.2-1	Did the organization determine its environmental aspects and associated environmental impacts?		
6.1.2-2	Did the organization determine the significance of its environmental aspects by established criteria?		
6.1.2-4	Did the organization take into account changes to activities, products, or services to determine environmental aspects?		
6.1.2-6	Does the organization maintain documented information of its environmental aspects and associated environmental impacts?		
6.1.2-8	Does the organization maintain documented information of its significant environmental aspects?		
6.1.3-2	Did the organization take into account compliance obligations when establishing, implementing, maintaining, and continually improving its EMS?		

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6.1.4-1	Did the organization take actions to address its significant environmental aspects?		
6.1.4-2	Did the organization take actions to address its compliance obligations?		
6.1.4-4	Did the organization plan how to integrate and implement the actions into its EMS processes?		
6.1.4-5	Did the organization plan how it will evaluate the effectiveness of these actions?		
6.2.1-2	Did the organization establish environmental objectives, taking into account the organization's significant environmental aspects?		
6.2.1-4	Are environmental objectives measurable?		
6.2.1-5	Does the organization monitor its environmental objectives?		
6.2.1-6	Does the organization communicate its environmental objectives?		
6.2.1-8	Does the organization maintain documented information on its environmental objectives?		
6.2.2-1	Did the organization determine how to achieve its environmental objectives?		
6.2.2-3	Did the organization determine deadlines for achieving environmental objectives?		
6.2.2-4	Does the organization determine how it will evaluate results of actions taken to achieve environmental objectives?		
7.1	Did the organization provide enough resources to establish and fulfill all EMS requirements?		
7.2-1	Did the organization determine necessary competence of personnel involved in the EMS?		

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7.3	Did the organization ensure that its employees are aware of implications of not conforming to the EMS requirements?		
7.4.1-2	Does the organization take into account its compliance obligations when establishing its communication process(es)?		
7.4.1-3	Does the organization ensure the reliability of communicated information?		
7.4.2-2	Does the organization ensure that its internal communication contributes to the EMS?		
7.4.3	Does the organization ensure that external communication is done by its communication processes?		
7.5.1-2	Does the organization's EMS include documented information determinate by the organization to be necessary?		
7.5.2-1	Does the organization's documented information have proper identification, description, and format?		
7.5.3-1	Is the organization's documented information available and suitable for use, where and when it's needed?		
7.5.3-2	Does the organization ensure that protection of its documented information is adequate?		
7.5.3-4	Does the organization control storage and preservation of its documented information, including legibility?		

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8.1-1	Does the organization establish, implement, control, and maintain the processes needed to meet Environmental Management System requirements?		
8.1-3	Does the organization implement controls for its process(es) in accordance with the operating criteria?		
8.1-4	Does the organization control planned changes and review the consequences of unintended changes?		
8.1-6	Does the organization take into consideration its product or service lifecycle?		
8.1-7	Does the organization determine environmental requirements for the procurement?		
8.1-9	Does the organization consider the need to provide information about potential significant environmental impacts associated with the transportation, use, end-of-life treatment, and final disposal of its product or services?		
8.2-1	Has the organization established, implemented, and maintained the processes needed to prepare for and respond to potential emergency situations?		
8.2-2	Does the organization plan actions to prevent or mitigate adverse environmental impacts from emergency situations?		
8.2-5	Does the organization review and revise the process(es) and planned response actions, particularly after the occurrence of emergency situations and tests?		

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9.1.1-2	Has the organization determined what needs to be monitored and measured, as well as monitoring and measuring methods to ensure valid results?		
9.1.1-4	Has the organization determined when the monitoring and measurement will be performed and when the results will be analyzed and evaluated?		
9.1.1-5	Has the organization ensured that calibrated or verified monitoring and measurement equipment is used and maintained?		
9.1.1-7	Has the organization communicated relevant environmental performance information according to the communication process and compliance obligations?		
9.1.2-1	Has the organization established, implemented, and maintained the processes needed to evaluate fulfillment of its compliance obligations?		
9.1.2-3	Has the organization evaluated the compliance and taken actions needed?		
9.1.2-4	Does the organization maintain knowledge and understanding of its compliance status?		
9.2.2-1	Does the organization establish, implement, and maintain internal audit program(s)?		

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9.2.2-3	When establishing the internal audit program, did the organization take into account the results of previous audits?		
9.2.2-4	When establishing the internal audit program, did the organization take into account the importance of the processes concerned?		
9.2.2-6	Does the organization ensure objectivity of the audit process?		
9.2.2-7	Does the organization communicate audit results to the relevant management?		
9.3-1	Does top management review the organization's EMS?		
9.3-2	Does top management, during review, consider the status of actions from previous management reviews?		
9.3-4	Does top management review include consideration of the needs and expectations of interested parties, including compliance obligations?		
9.3-6	Does top management review include consideration of EMS risks and opportunities?		
9.3-8	Does top management review include consideration of trends in nonconformities and corrective actions?		
9.3-10	Does top management review include consideration of resource adequacy?		
9.3-11	Does top management review include consideration of opportunities for continual improvement?		
9.3-13	Does top management review include decisions		

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	related to continual improvement?		
9.3-15	If needed, does top management review include opportunities to improve integration of the EMS with other business processes?		
9.3-16	Does top management review include any implications for the strategic direction of the organization?		
10.1	Does the organization take actions to improve its EMS?		
10.2-1	Does the organization take actions to control and correct its nonconformities?		
10.2-3	Does the organization take actions to prevent occurring and recurring nonconformities?		
10.2-6	Does the organization retain documented information as evidence of the nature of the nonconformities and any subsequent actions taken?		
10.3-1	Does the organization continually improve the suitability, adequacy, and effectiveness of its EMS?		
10.3-2	Does the organization take necessary actions to enhance its environmental performance?		