

Company Name/Logo	ISO 14001:2004 EMS – Internal Audit Checklist & Gap Analysis	EF013-4
		Version 1
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Audit Date	
Audit Description	
Lead Auditor	
Audit Team Members	

ISO 14001:2004 Auditable Clauses: (Tick those to be evaluated during this audit)	4.1	<input type="checkbox"/>	
	1. The checklist should be used by auditors to evaluate or assess the environmental management system based on the auditable requirements ISO 14001:2004	4.2	<input type="checkbox"/>
	2. The auditors are expected to be competent and able to conduct the audit in an impartial and objective manner. Evidence of top management commitment and environmental management action must be looked for and determined to be present	4.3.1	<input type="checkbox"/>
		4.3.2	<input type="checkbox"/>
	3. Each auditor should complete the section of the checklist they have been assigned by the Environmental Management Representative or Lead Auditor [delete as appropriate] .	4.3.3	<input type="checkbox"/>
		4.4.1	<input type="checkbox"/>
	4. The auditor should provide additional notes and questions regarding the audit trail for each element in the blank space on the checklist	4.4.2	<input type="checkbox"/>
		4.4.3	<input type="checkbox"/>
	5. The Environmental Management Representative or Lead Auditor [delete as appropriate] is responsible for reviewing completed sections of the checklist and to organize all individual sections into one sequential checklist at the conclusion of the audit	4.4.4	<input type="checkbox"/>
		4.4.5	<input type="checkbox"/>
	6. Supplementary audit questions are included and are intended to reveal greater detail about the organization's compliance with the environmental management standard	4.4.6	<input type="checkbox"/>
		4.4.7	<input type="checkbox"/>
	NOTE 1: If your organization wishes to combine audits of its environmental management system with environmental compliance audits, the intent and scope of each should be clearly defined. Environmental compliance audits are not covered by ISO 14001:2004	4.5.1	<input type="checkbox"/>
	NOTE 2: Guidance on auditing environmental management systems is given in ISO 19011:2002	4.5.2	<input type="checkbox"/>
		4.5.3	<input type="checkbox"/>
	NOTE 3: This checklist is based on the July 2009 release of ISO 14001:2004 for Environmental Management Systems – Requirements	4.5.4	<input type="checkbox"/>
4.5.5		<input type="checkbox"/>	
NOTE 4: Annex A of this document contains a matrix of correspondence between ISO 14001:2004 and ISO 9001:2008	4.5.5	<input type="checkbox"/>	
	4.5.6	<input type="checkbox"/>	

Auditor Name (print) _____ Initials _____ Date _____

Legend

A = Opportunity for Improvement
 B = Minor Non-conformance
 C = Major Non-conformance
 SQ = Supplementary Question

Conformance:	Adherence with requirements of standard. No major or minor non-conformances found
Opportunity for Improvement (OFI):	<p>A situation or condition of a management system that may be weak, cumbersome, redundant, overly complex, or in some other manner, may, in the opinion of the auditor, offer an opportunity for an organization to improve its current status.</p> <p>OFIs do not require any action on the part of the organization; however, the organization should give them serious consideration in view of the auditor's knowledge and exposure to similar systems.</p> <p>An OFI may be an improvement to the management system or could prevent future problems.</p>
Minor Non-conformance:	<p>A non-conformity that, based on the judgment and experience of the auditor, is not likely to result in the failure of the management system or reduce its ability to assure controlled processes or products.</p> <p>It may be either:</p> <p>A failure in some part of the supplier's management system relative to a specified requirement.</p> <p>A single observed lapse in following one item of a company's management system.</p>
Major Non-conformance:	<p>The absence (omission, not addressed) or total breakdown (commission, failure, not implemented) of a system to meet a specified requirement.</p> <p>A number of minor non-conformities against one requirement can represent a total breakdown of the system and thus be considered a major non-conformity.</p> <p>Any non-compliance that would result in the probable shipment of a non-conforming product. Conditions that may result in the failure of or materially reduce the usability of the products or services for their intended purpose.</p> <p>A non-compliance that, in the judgment and experience of the auditor, is likely to either to result in the failure of the management system or to materially reduce its ability to assure controlled processes and products.</p>

Auditor Name (print) _____ Initials _____ Date _____

4.1 General Requirements

Question No.	Clause Ref.	Audit Question	Finding			Audit Evidence	
			YES	NO			
				A	B		C
N.B. Provide references to documentation where necessary							
1	4.1	Has the organization established, documented, implemented and maintained and continually improved an EMS in accordance with the requirements?					
2	4.1	Has the organization determined how it will fulfil these requirements?					
3	4.1	Has the organization determined defined and documented the scope of its EMS?					
4	4.1a	Has the organization established an appropriate environmental policy?					
5	4.1b	Has the organization identified the environmental aspects arising from its past, existing or planned activities, products and services, in order to determine the environmental impacts of significance?					
6	4.1c	Has the organization Identified applicable legal requirements and other requirements to which it subscribes?					

Auditor Name (print) _____ Initials _____ Date _____

Question No.	Clause Ref.	Audit Question	Finding			Audit Evidence
			YES	NO		
				A	B	
<small>N.B. Provide references to documentation where necessary</small>						
7	4.1d	Has the organization identified priorities and set appropriate environmental objectives and targets?				
8	4.1e	Has the organization established a structure and program(s) to implement the policy and achieve objectives and meet targets?				
9	4.1f	Has the organization facilitated planning, control, monitoring preventive and corrective actions, auditing and review activities to ensure both that the policy is complied with and that the environmental management system remains appropriate?				
10	4.1g	Is the organization capable of adapting to changes in circumstances?				

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4.2 Environmental Policy

Question No.	Clause Ref.	Audit Question	Finding			Audit Evidence
			YES	NO		
				A	B	
<small>N.B. Provide references to documentation where necessary</small>						
11	4.2	Has top management defined the organization's environmental policy?				
12	4.2a	Is the policy appropriate to the nature, scale and environmental impacts of its activities, products or services?				
13	4.2b	Does it include a commitment to continual improvement and prevention of pollution?				
14	4.2c	Does it include a commitment to comply with relevant environmental legislation and regulations, and with other requirements to which the organization subscribes?				
15	4.2d	Does it provide a framework for setting and reviewing environmental objectives and targets?				
16	4.2e	Is the policy documented, implemented and maintained?				

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Question No.	Clause Ref.	Audit Question	Finding			Audit Evidence
			YES	NO		
				A	B	
						N.B. Provide references to documentation where necessary
17	4.2f	Is the policy communicated to employees and contractors?				
18	4.2g	Is the policy available to the public?				
19	SQ1	Is the environmental policy defined and approved by the organization's top management?				
20	SQ2	Is the environmental policy sufficiently clear to be capable of being understood by internal and external interested parties?				
21	SQ3	Has the environmental policy been periodically reviewed and revised to reflect changing conditions and information?				
22	SQ4	Is the area of application clearly identifiable?				

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4.3 Planning

4.3.1 Environmental Aspects

Question No.	Clause Ref.	Audit Question	Finding			Audit Evidence
			YES	NO		
				A	B	
						N.B. Provide references to documentation where necessary
23	4.3.1	Has the organization established, implemented and maintained a procedure(s) to:				
24	4.3.1a	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?				
25	4.3.1b	Determine those aspects that have or can have significant impact(s) on the environment (i.e. significant environmental aspects)?				
26	4.3.1	Has the organization documented this information and kept it up to date?				
27	4.3.1	Has the organization ensured that the significant environmental aspects have been taken into account in establishing, implementing and maintaining its environmental management system?				
28	SQ1	Has the organization considered environmental aspects such as emissions into the air?				

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