

# **ISO 14001:2015 Internal Audit Checklist**

System & Process Compliance Auditing

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## Audit Checklist – Part 1

### Section 4.0 Context of the Organization

Clause No.	Question No.	Audit Question	Audit Findings (Score '1' per box)				Audit Evidence  Provide reference to documented information to justify the finding	Opportunities for Improvement (OFI)  Provide suggestions for process improvement
			Compliant	OFI	Minor N/C	Major N/C		
4.1	1	Has your organization determined external and internal issues relevant to its purpose that could affect its ability to achieve the intended result(s) of its EMS?						
4.1	2	Does your organization monitor and review external and internal environmental conditions which could affect the organization, and which the organization could affect?						
4.2	3	Does the organisation determine the interested parties that are relevant to the EMS?						
4.2	4	Does the organisation determine the requirements of these interested parties that are relevant to the EMS, which may include regulatory requirements, local, regional or global environmental conditions that can affect, or be affected by, your organization?						
4.2	5	Does your organization determine which of those requirements are to be managed as compliance obligations in order to mitigate adverse risk or exploit beneficial opportunities that can be integrated in the operational planning of the EMS?						

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Insert your company's name or logo.

Clause No.	Question No.	Audit Question	Audit Findings (Score '1' per box)				Audit Evidence  Provide reference to documented information to justify the finding	Opportunities for Improvement (OFI)  Provide suggestions for process improvement
			Compliant	OFI	Minor N/C	Major N/C		
4.3	6	Does your organization determine the boundaries and applicability of the EMS to establish its scope?						
4.3	7	When determining this scope, has your organization considered the external and internal issues referred to in 4.1?						
4.3	8	When determining this scope, has your organization considered the requirements and compliance obligations of its interested parties referred to in 4.2?						
4.3	9	When determining this scope, has your organization defined its operational units, functions and physical boundaries?						
4.3	10	When determining this scope, has your organization considered its activities, products and services in order to mitigate adverse risk or exploit beneficial opportunities that can be integrated into system, process and product lifecycles, such as:  <ol style="list-style-type: none"> <li>1. Raw material acquisition;</li> <li>2. Manufacture;</li> <li>3. Packaging/Transport/Delivery;</li> <li>4. Use;</li> <li>5. End of life treatment;</li> <li>6. Final disposal.</li> </ol>						

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Clause No.	Question No.	Audit Question	Audit Findings (Score '1' per box)				Audit Evidence  Provide reference to documented information to justify the finding	Opportunities for Improvement (OFI)  Provide suggestions for process improvement
			Compliant	OFI	Minor N/C	Major N/C		
4.3	11	When determining this scope, has your organization considered and documented its ability and authority to control and influence factors relating to external and internal issues?						
4.3	12	Does your organization ensure that its EMS scope is available to interested parties and is maintained as documented information (See 7.5.1)?						
4.4	13	Has your organization established, implemented, maintained and continually improved its EMS, including the processes needed and their interactions, in accordance with the requirements of ISO 14001:2015?						
4.4	14	Has your organization has considered the knowledge and information obtained by 4.1 and 4.2 when implementing and operating its EMS?						

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## Audit Findings Summary

Manually transfer the audit findings from the audit checklist above into the audit findings summary table below. At the end of the audit, you should transfer any **adverse** findings into the EMS Action Tracker to create charts, summary tables and trend data to paste into your audit report.

Question No	Audit Findings			
	Compliant	OFI	Minor N/C	Major N/C
1				
2				
3				

Question No	Audit Findings			
	Compliant	OFI	Minor N/C	Major N/C
4				
5				
6				

Question No	Audit Findings			
	Compliant	OFI	Minor N/C	Major N/C
7				
8				
9				

Question No	Audit Findings			
	Compliant	OFI	Minor N/C	Major N/C
10				
11				
12				

Question No	Audit Findings			
	Compliant	OFI	Minor N/C	Major N/C
13				
14				