IMS Master Internal Audit Checklist

Quick Links:

Before you begin auditing, review and edit the process name list starting in Cell B420. This will populate the drop-down menus in Column E and various axes within the audit result charts. Use the drop-down menu in Column F to select one of four audit findings defined by the audit criteria. Column G will automatically display a recommendation based on the audit finding. The response is then automatically represented as an 'x' in either Column H, I, J, or K. These columns are hidden. The indicator in Column L will update according to the perceived level of risk, e.g., minor or major. (Ref. ISO 19011:2026, Clause 6). Use the drop-down menus in Col M to select an appropriate root-cause. You can change this list by editing the root-cause list starting in Cell M420. Describe how to correct a nonconformance or adopt an opportunity in Col N. Record audit evidence, such as document numbers and revisions in Col O.

					Audit Findings & Actions					
Ref No.	Clause Title	Q-No	Requirements/Questions	Process Name	Audit Result	Recommendations	Score	Possible Root-cause	Action Plan	Audit Evidence & Notes
			ISO 14001:2026 — ENVIRONMENTAL MANAGEMENT SYSTEM							
4.1	Context of the Organization	E1	Has the organization determined the external and internal issues relevant to its purpose and that affect its ability to achieve the intended outcomes of its environmental management system?	Business Planning	Minor NC	Identify and discuss the root-cause within 4 weeks and correct.	75	Human - Poor employee involvement	Reinforce training	
4.1	Context of the Organization	E2	Do the identified issues include environmental conditions being affected by the organization or capable of affecting the organization — including pollution levels, availability of natural resources, climate change, biodiversity and ecosystem health?	Business Planning	Major NC	Contain the problem immediately. Identify the root-cause within one week and correct.	25	Process - Procedures or work-instructions were inadequate/non-existent	Review and rewrite WI	
4.1	Context of the Organization	E3	Does the organization monitor and review information about these external and internal issues?	Business Planning	Minor NC	Identify and discuss the root-cause within 4 weeks and correct.	75	Human - Lack of skill, training or experience	Reinforce training	
4.2	Interested Parties	E4	Has the organization determined the interested parties that are relevant to the environmental management system?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.2	Interested Parties	E5	Has the organization determined the relevant needs and expectations (i.e. requirements) of these interested parties?	Business Review	Major NC	Contain the problem immediately. Identify the root-cause within one week and correct.	25	Process - Procedure was contradictory or confusing	Review and rewrite procedure	
4.2	Interested Parties	E6	Has the organization determined which of these needs and expectations become its compliance obligations (see 6.1.3)?	Management System	Major NC	Contain the problem immediately. Identify the root-cause within one week and correct.	25	Human - Inadequate management involvement	Reinforce training	
4.2	Interested Parties	E7	Does the organization monitor and review information about interested parties and their relevant needs and expectations?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.3	Scope of the environmental management system	E8	Has the organization determined the boundaries and applicability of the environmental management system to establish its scope?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.3	Scope of the environmental management system	E9	When determining the scope, has the organization considered the external and internal issues referred to in 4.1?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.3	Scope of the environmental management system	E10	When determining the scope, has the organization considered the compliance obligations referred to in 4.2?	Management System	Minor NC	Identify and discuss the root-cause within 4 weeks and correct.	75	Human - Poor employee involvement	Review training procedure	
4.3	Scope of the environmental management system	E11	When determining the scope, has the organization considered its organizational units, functions and physical boundaries; and its activities, products and services?	Management System	Opportunity	Review and implement actions to deploy the opportunity to improve the process(s).	100	Opportunity for improvement	Review scope	
4.3	Scope of the environmental management system	E12	When determining the scope, has the organization considered its authority and ability to exercise control and influence over the life cycle of its activities, products and services?	Management System	Major NC	Contain the problem immediately. Identify the root-cause within one week and correct.	25	Human - Human error	Reinforce training	
4.3	Scope of the environmental management system	E13	Are all activities, products and services of the organization within that scope included in the environmental management system?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.3	Scope of the environmental management system	E14	Is the scope available as documented information and made available to interested parties?	Management System	Opportunity	Review and implement actions to deploy the opportunity to improve the process(s).	100	Opportunity for improvement	Review previous management review minutes	
4.4	Environmental Management System	E15	Has the organization established, implemented, maintained and continually improved an environmental management system, including the processes needed and their interactions, in accordance with the requirements of ISO 14001:2026?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.4	Environmental Management System	E16	Has the organization considered the knowledge gained in 4.1 and 4.2 when establishing and maintaining the environmental management system?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1	Leadership & Commitment	E17	Does top management take accountability for the effectiveness of the environmental management system?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1	Leadership & Commitment	E18	Does top management ensure that the environmental policy and environmental objectives are established and are compatible with the strategic direction and the context of the organization?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1	Leadership & Commitment	E19	Does top management ensure the integration of environmental management system requirements into the organization's business processes?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1	Leadership & Commitment	E20	Does top management ensure that the resources needed for the environmental management system are available?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1	Leadership & Commitment	E21	Does top management communicate the importance of effective environmental management and of conforming to the environmental management system requirements?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1	Leadership & Commitment	E22	Does top management ensure that the environmental management system achieves its intended outcomes?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1	Leadership & Commitment	E23	Does top management direct and support persons to contribute to the effectiveness of the environmental management system, promote continual improvement, and support other relevant roles to demonstrate their leadership?	Business Planning	Minor NC	Identify and discuss the root-cause within 4 weeks and correct.	75	Process - Communication systems or delivery failed	Policy needs reviewing and signing	
5.2	Environmental Policy	E24	Has top management established, implemented and maintained an environmental policy that is appropriate to the purpose and context of the organization, including the nature, scale and environmental impacts of its activities, products and services?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.2	Environmental Policy	E25	Does the environmental policy provide a framework for setting environmental objectives?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.2	Environmental Policy	E26	Does the policy include a commitment to the protection of the environment, including prevention of pollution and other specific commitments relevant to the context of the organization?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.2	Environmental Policy	E27	Does the policy include a commitment to fulfil compliance obligations?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.2	Environmental Policy	E28	Does the policy include a commitment to continual improvement of the environmental management system to enhance environmental performance?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.2	Environmental Policy	E29	Is the policy maintained as documented information, communicated within the organization, and available to interested parties?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.3	Roles, Responsibilities and Authorities	E30	Has top management ensured that the responsibilities and authorities for relevant roles are assigned and communicated within the organization?		Conforms		100			
5.3	Roles, Responsibilities and Authorities	E31	Has top management assigned responsibility and authority for ensuring that the environmental management system conforms to the requirements of ISO 14001:2026?		Conforms		100			
5.3	Roles, Responsibilities and Authorities	E32	Has top management assigned responsibility and authority for reporting on the performance of the environmental management system, including environmental performance, to top management?		Minor NC		75	Human - Poor employee involvement	Reinforce training	
5.3	Roles, Responsibilities and Authorities	E33	Are the assigned responsibilities and authorities understood by the persons concerned and supported by adequate competence, resources and time?		Conforms		100			
6.1.1	Planning - General	E34	When planning for the environmental management system, has the organization considered the issues referred to in 4.1 and the requirements referred to in 4.2?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
6.1.1	Planning - General	E35	Has the organization determined the risks and opportunities that need to be addressed to give assurance the environmental management system can achieve its intended outcomes, prevent or reduce undesired effects (including external environmental conditions affecting the organization), and achieve continual improvement?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
6.1.1	Planning - General	E36	Has the organization determined potential emergency situations, including those that can have an environmental impact?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			

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