



ISO 14001: 2015 Environmental Management System Audit Checklist

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Environmental Management System Checklist

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Introduction

This Environmental Management System Assessment Checklist is a tool for understanding requirements of ISO14001:2015 “Environmental management systems – Requirements with guidance for use”. The Checklist covers Clauses 4-10 requirements with probing questions about how an organization has addressed requirements and what objective evidence is available in support of implementation. The resulting information may be helpful to identify areas where requirements are being met or where there may be gaps in understanding or the availability of objective evidence. Be aware that the Checklist could be a good starting point for understanding the status of implementation but is not intended to be fully comprehensive in its scope but rather to provide guidance and thought provoking questions.

The framework used in the development of the ISO14001:2015 Standard was based on Annex SL of ISO/IEC Directives, Part 1, which defines the basic procedures (including clause numbering) to be used in the design of new ISO Standards and also when ISO Standards are revised. As a result you will see this framework here in ISO14001:2015 as well other management system standards as they uniformly adopt this new high-level structure (HLS).

Clauses 4-10 of the ISO14001:2015 Standard contain the requirements that organizations must meet prior to registration. The additional clauses in the Standard and the informative Annexes provide explanations, understanding and guidance when implementing these requirements. ISO14001:2015 also has an updated list of terms and definitions which are helpful in understanding requirements and expectations.

Environmental Management System Checklist

<i>ISO14001:2015 Clause #</i>	<i>Environmental Management System Requirements</i>	<i>Documented Information Reference</i>	<i>Explanatory Notes and Comments</i>
4	Context of the organization		
4.1	Understanding the organization and its context <ul style="list-style-type: none"> • Have external and internal issues been identified that are relevant & that affect the ability to achieve intended outcomes? 		
4.2	Understanding the needs and expectations of interested parties <ul style="list-style-type: none"> • Have interested parties that are relevant been identified? • Have their needs and expectations been determined? • Are any of these needs & expectations compliance obligations? 		
4.3	Determining the scope of the environmental management system <ul style="list-style-type: none"> • Has the organization determined the scope and boundaries of the management system, considering: <ul style="list-style-type: none"> ○ The external and internal issues; ○ Compliance obligations; ○ Organizational unit(s), functions and physical boundaries; ○ Its activities, products and services; ○ Its authority & ability to exercise control & influence. • Is the scope maintained as documented information? • Is the scope available to interested parties? 		

ISO14001:2015 Clause #	Environmental Management System Requirements	Documented Information Reference	Explanatory Notes and Comments
5	Leadership		
5.1	Leadership and commitment Has top management demonstrated leadership and commitment by: <ul style="list-style-type: none"> • Taking accountability for the effectiveness of the EMS? • Establishing the policy and objectives that are compatible with the strategic direction & context of the organization? • Ensuring integration of the EMS requirements into business processes? • Ensuring that resources needed for the EMS are available? • Communicating the importance of effective environmental management & of conforming to the EMS requirements? • Ensuring that the EMS achieves its intended outcomes? • Directing & supporting persons to contribute to the effectiveness of the EMS? • Promoting continual improvement? • Supporting other relevant mgt. system roles to demonstrate their leadership, as it applies to their areas of responsibility? 		
5.2	Environmental Policy Has top management established an environmental policy that <ul style="list-style-type: none"> • Is appropriate to the purpose and context of the organization? • Provides a framework for setting environmental objectives? • Includes a commitment to protection of the environment & other specific commitments relevant to context? • Includes a commitment to fulfill its compliance obligations? • Includes a commitment to continual improvement? • Is maintained as documented information? • Is communicated within the organization? • Is available to interested parties? 		

ISO14001:2015 Clause #	Environmental Management System Requirements	Documented Information Reference	Explanatory Notes and Comments
6	Planning		
6.1 6.1.1	Actions to address risks and opportunities General Has the organization determined potential emergency situations that could occur, within the scope of EMS? Is documented information maintained of its risks and opportunities that need to be addressed?		
6.1.2	Environmental Aspects Have environmental aspects of activities, products and services been determined? Has a life cycle perspective been considered? For environmental aspects that have been identified has change, abnormal conditions and emergency situations been taken into account? Have significant environmental aspects been identified using established criteria? Have significant environmental aspects been communicated? Is documented information retained for the environmental aspects and impacts, including those that are significant?		
6.1.3	Compliance Obligations Have compliance obligations related to environmental aspects been determined as well as access to the requirements? Is documented information retained of the compliance obligations?		
6.1.4	Planning Action Has the organization planned actions to address: <ul style="list-style-type: none"> • The identified significant environmental aspects?; • Its compliance obligations?; • Its risks and opportunities identified in 6.1.1? 		

<p>6.2</p> <p>6.2.1</p>	<p>Environmental objectives and planning to achieve them</p> <p>Environmental objectives</p> <p>Have environmental objectives been established taking into account the significant environmental aspects, compliance obligations and considered its risks and opportunities?</p> <p>Are the environmental objectives:</p> <ul style="list-style-type: none"> • Measurable? • Monitored? • Communicated? • Updated, as appropriate? • Is documented information maintained on the environmental objectives? 		
<p>6.2.2</p>	<p>Planning actions to achieve environmental objectives</p> <p>For the identified environmental objectives has the organization determined:</p> <ul style="list-style-type: none"> • What will be done? • What resources are required? • Who has responsibility? • When it will be completed? • How results will be evaluated, including indicators for monitoring progress toward achievement? • Has the organization considered how actions to achieve its environmental objectives can be integrated into the organizations business processes? 		

Additional notes:

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ISO14001:2015 Clause #	Environmental Management System Requirements	Documented Information Reference	Explanatory Notes and Comments
7	Support		
7.1	Resources Has the organization determined and provided the resources needed for the establishment, implementation, maintenance and continual improvement of the EMS?		
7.2	Competence Has the organization: <ul style="list-style-type: none"> • Determined the necessary competence of person doing work under its control that affects its environmental performance and ability to fulfill its compliance obligations? • Ensured that these persons are competent on the basis of appropriate education, training or experience? • Determined training needs associated with environmental aspects? 		
7.3	Awareness Has the organization ensured awareness of persons under its control of: <ul style="list-style-type: none"> • The environmental policy? • The significant environmental aspects and potential environmental impacts of people's work? • The benefits of enhanced environmental performance and the implications of not conforming to EMS requirements? 		

<p>7.4 7.4.1</p>	<p>Communication</p> <p>General</p> <p>Has the organization established, implemented and maintained the processes needed for internal and external communications, including:</p> <ul style="list-style-type: none"> • What it will communicate? • When it will communicate? • With whom to communicate? • How to communicate? <p>Has the organization taken into account its compliance obligations and that information is reliable?</p> <p>Has the organization responded to relevant communication?</p> <p>Is documented information retained as evidence of communication?</p>		
<p>7.4.2</p>	<p>Internal Communication</p> <p>Has the organization internally communicated information relevant to the EMS?</p> <p>Has the organization ensured that communication process enable persons to contribute to continual improvement?</p>		
<p>7.4.3</p>	<p>External Communication</p> <p>Has the organization communicated information externally as defined by the organizations communication processes or as required by its compliance obligations?</p>		
<p>7.5 7.5.1</p>	<p>Documented information</p> <p>General</p> <p>Does the EMS include documented information required by this International Standard?</p> <p>Documented information determined by the organization to be necessary for the effectiveness of the environmental management system?</p>		

7.5.2	<p>Creating and updating</p> <p>Has the organization assured appropriate:</p> <ul style="list-style-type: none"> • Identification and description of documents? • Format and media (e.g. paper, electronic)? • Review and approval for suitability and adequacy? 		
7.5.3	<p>Control of documented information</p> <p>Is documented information controlled to ensure:</p> <ul style="list-style-type: none"> • Availability and suitability for use, where and when it is needed? • Adequate protection? <p>Have the following requirements been addressed?</p> <ul style="list-style-type: none"> • Distribution, access, retrieval and use? • Storage and preservation? • Control of changes? • Retention and disposition? <p>Have documents of external origin been identified and controlled?</p>		

Additional notes:

ISO14001:2015 Clause #	Environmental Management System Requirements	Documented Information Reference	Explanatory Notes and Comments
8	Operation		
8.1	<p>Operational planning and control</p> <p>Have processes been established, implemented, controlled and maintained to meet EMS requirements and to implement actions identified in 6.1 and 6.2 by:</p> <ul style="list-style-type: none"> • Establishing operating criteria for the processes? • Implementing control of the processes, in accordance with operating criteria? <p>Have planned changes been controlled and reviewed the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary?</p> <p>Has the organization ensured that outsourced processes are controlled or influenced?</p> <p>Has the type and extent of control or influence been defined?</p> <p>Associated with a life cycle perspective, has the organization:</p> <ul style="list-style-type: none"> • Established controls to ensure that its environmental requirements are addressed in the design and development process for product or service, considering each stage of its life cycle? • Determined its environmental requirements for the procurement of products and services, as appropriate? • Communicated its relevant environmental requirements to external providers, including contractors? • Considered the need to provide information about potential significant environmental impacts associated with the transportation or delivery, use, end-of-life treatment and final disposal of its products and services? <p>Is documented information maintained to have confidence that the processes have been carried out as planned?</p>		

8.2	<p>Emergency preparedness and response</p> <p>Has the organization established, implemented and maintained the processes needed to prepare for and respond to potential emergency situations identified in 6.1.1?</p> <p>Has the organization:</p> <ul style="list-style-type: none"> • Prepared for response by planning actions to prevent or mitigate adverse environmental impacts from emergency situations? • Responded to actual emergency situations? • Taken action to prevent or mitigate the consequences of emergency situation, appropriate to the magnitude of the emergency and the potential environmental impacts? • Periodically tested planned response actions? • Periodically reviewed and revised processes and planned response actions, in particular after the occurrence of emergency situations or tests? • Provided relevant information and training related to emergency preparedness and response to relevant interested parties, including persons working under its control? <p>Has the organization maintained documented information to have confidence that the processes are carried out as planned?</p>			
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Additional notes:

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9	Performance evaluation		
9.1 9.1.1	<p>Monitoring, measurement, analysis and evaluation</p> <p>General</p> <p>For environmental performance, has the organization determined:</p> <ul style="list-style-type: none"> • What needs to be monitored and measured? • The methods for monitoring, measurement, analysis and evaluation to ensure valid results? • The criteria against which the organization will evaluate its environmental performance, and appropriate indicators? • When monitoring and measuring shall be performed? • When the results from monitoring and measurement will be analyzed and evaluated? <p>Has the organization ensured that calibrated or verified monitoring and measurement equipment is used and maintained?</p> <p>Has the organization evaluated its environmental performance and the effectiveness of the environmental management system?</p> <p>Has the organization retained appropriate documented information as evidence of the monitoring, measurement, analysis and evaluation results?</p>		
9.1.2	<p>Evaluation of compliance</p> <p>Has the organization established, implemented and maintained the processes needed to evaluate fulfillment of its compliance obligations, including:</p> <ul style="list-style-type: none"> • Determining the frequency that compliance will be evaluated? • Evaluating compliance and taking action if needed? • Maintained knowledge and understanding of its compliance status? <p>Has the organization retained documented information as evidence of the compliance evaluation results?</p>		

<p>9.2 9.2.1</p>	<p>Internal audit</p> <p>General</p> <p>Has the organization conducted internal audits at planned intervals to determine if the environmental management system:</p> <ul style="list-style-type: none"> • Conforms to its own requirements for environmental management? • Conforms to requirements of this International Standard? • Is effectively implemented and maintained? 		
<p>9.2.2</p>	<p>Internal audit program</p> <p>Has the organization established, implemented and maintained an internal audit program, including the frequency, methods, responsibilities, planning requirements and reporting of its internal audits?</p> <p>Has the organization taken into consideration the environmental importance of the processes concerned, changes affecting the organization and results of previous audits?</p> <p>Has the organization:</p> <ul style="list-style-type: none"> • Defined the audit criteria and scope for each audit? • Selected auditors and conducted audits to ensure objectivity and impartiality of the audit process? • Ensured that the results of audits are reported to relevant management? <p>Has the organization retained documented information as evidence of the implementation of the audit program and the audit results?</p>		

<p>9.3</p>	<p>Management review</p> <p>Has top management reviewed the organization's environmental management system at planned intervals to ensure its continuing suitability, adequacy and effectiveness?</p> <p>Have management reviews considered:</p> <ul style="list-style-type: none"> • The status of actions from previous management reviews? • Changes in: <ul style="list-style-type: none"> ○ External and internal issues relevant to the EMS? ○ The needs and expectations of interested parties, including compliance obligations? ○ Its significant environmental aspects? ○ Risks and opportunities? • The extent to which environmental objectives have been achieved? • Information on the organizations environmental performance, including trends in: <ul style="list-style-type: none"> ○ Nonconformities and corrective actions? ○ Monitoring and measurement results? ○ Fulfillment of its compliance obligations? ○ Audit results? • Adequacy of resources? • Relevant communications from interested parties, including complaints? • Opportunities for continual improvement? <p>Have the outputs of the management review process included:</p> <ul style="list-style-type: none"> • Conclusions on the continuing suitability, adequacy and effectiveness of the environmental management system? • Decisions related to continual improvement opportunities? • Decisions related to any need for changes to the environmental management system, including resources? • Actions, if needed, when environmental objectives have not been achieved? • Opportunities to improve integration of the environmental management system with other business processes, if needed? • Any implications for the strategic direction of the organization? <p>Has the organization retained documented information as evidence of the results of management reviews?</p>		
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ISO14001:2015 Clause #	Environmental Management System Requirements	Documented Information Reference	Explanatory Notes and Comments
10	Improvement		
10.1	General Has the organization determined opportunities for improvement and implemented necessary actions to achieve the intended outcome of its environmental management system?		
10.2	Nonconformity and corrective action When a nonconformity has occurred has the organization: <ul style="list-style-type: none"> • Reacted to the nonconformity and, as applicable: <ul style="list-style-type: none"> ○ Taken action to control and correct it? ○ Dealt with the consequences, including mitigating adverse environmental impacts? • Evaluated the need for action to eliminate the causes of the nonconformity, in order that it does not recur or occur elsewhere, by: <ul style="list-style-type: none"> ○ Reviewing the nonconformity? ○ Determining the causes of the nonconformity? ○ Determining if similar nonconformities exist, or could potentially occur? • Implemented any action needed? • Reviewed the effectiveness of any corrective action taken? • Made changes to the environmental management system, if necessary? Have corrective actions been appropriate to the significance of the effects of the nonconformities encountered, including the environmental impacts? Has documented information been retained as evidence of: <ul style="list-style-type: none"> • The nature of the nonconformities and any subsequent actions taken? • The results of any corrective actions? 		

