ISO 14001:2015 Master Internal Audit Checklist

Quick Links: Guidance | Result Charts | Process Report | Action Report

Before you begin auditing, review and edit the process name list in Cell B195. 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. Clause 6.4.8, ISO 19011:2018). 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 in Cell M194. 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**
4.1	Organizational Context	1	Has your organization determined external and internal issues (Incl. whether climate change is a relevant issue) are applicable to its purpose and its strategic direction that affect its ability to achieve the intended result(s) 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	Organizational Context	2	Does your organization monitor and review external and internal environmental conditions which could affect the organization, and which the organization could affect?	Business Planning	Major NC	Contain the problem imediately. Identify the root-cause within one week and correct.	25	Process - Procedures or work-instructions were inadequate/non-existent	Review and rewrite WI	
4.2	Relevant Interested Parties	3	Does your organization determine the interested parties that are relevant to the environmental management system?	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	Relevant Interested Parties	4	Does your organization determine the requirements of these interested parties (Incl. those relating to climate change) that are relevant to the environmental management system, which may include regulatory requirements, local, regional or global environmental conditions that can affect, or be affected by, your organization?	Design & Development	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.2	Relevant Interested Parties	5	Does your organization determine which of those requirements are to be managed as a compliance obligation or legal requirement in order to mitigate adverse risk or exploit beneficial opportunities that can be integrated into the operational planning of the environmental management system?	Business Review	Major NC	Contain the problem imediately. Identify the root-cause within one week and correct.	25	Process - Procedure was contradictory or confusing	Review and rewrite procedure	
4.3	Management System Scope	6	Does your organization determine the boundaries and applicability of the environmental management system to establish its scope?	Management System	Major NC	Contain the problem imediately. Identify the root-cause within one week and correct.	25	Human - Inadequate management involvement	Reinforce training	
4.3	Management System Scope	7	When determining this scope, has your 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	Management System Scope	8	When determining this scope, has your organization considered the requirements of relevant interested parties referred to in 4.2?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.3	Management System Scope	9	When determining this scope, has your organization considered all relevant products, services and work-related activities, functions and physical boundaries to the environmental management system?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.3	Management System Scope	10	When determining this scope, has your organization considered its activities, products, services and work-related activities and related product lifecycles, such as: 1. Raw material acquisition; 2. Manufacture; 3. Packaging/Transport/Delivery; 4. Use; 5. End of life treatment; 6. Final disposal.	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	Management System Scope	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?	Management System	Opportunity	Review and implement actions to deploy the opportunity to improve the process(s).	100	Opportunity for improvement	Review scope	
4.3	Management System Scope	12	Does your organization ensure that is EMS scope is available to interested parties and is maintained as documented information (See 7.5.1)?	Management System	Major NC	Contain the problem imediately. Identify the root-cause within one week and correct.	25	Human - Human error	Reinforce training	
4.4	Management System Processes	13	Has your organization established, implemented, maintained and continually improved its environmental management system, including the processes needed and their interactions, in accordance with the requirements of ISO 14001:2015?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.4	Management System Processes	14	Has your organization has considered the knowledge and information obtained by 4.1 and 4.2 when implementing and operating it environmental management system?	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	
5.1	Leadership & Commitment	15	Has Top Management demonstrated leadership and commitment to the environmental management system by taking accountability for the effectiveness of your organization's environmental management system?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1	Leadership & Commitment	16	Has Top Management demonstrated leadership and commitment to the environmental management system by ensuring that your organization's environmental policies and objectives are established and documented, and are compatible your organization's goals (See 6.2) and its context (See 4.0)?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1	Leadership & Commitment	17	Has Top Management demonstrated leadership and commitment to the environmental management system by ensuring that EMS requirements are integrated into your organization's processes?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1	Leadership & Commitment	18	Has Top Management demonstrated leadership and commitment to the environmental management system by ensuring that your organization has the required resources to implement it?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1	Leadership & Commitment	19	Has Top Management demonstrated leadership and commitment to the EMS by communicating the importance of an effective environmental management and for conforming to such requirements?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1	Leadership & Commitment	20	Does Top management demonstrate leadership and commitment with respect to the environmental management system by ensuring that the environmental management system achieves its intended results?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1	Leadership & Commitment	21	Does Top management demonstrate leadership and commitment with respect to the environmental management system by engaging, directing and supporting persons to contribute to 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	22	Does Top management demonstrate leadership and commitment with respect to the environmental management system by promoting improvement?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1	Leadership & Commitment	23	Does Top management demonstrate leadership and commitment with respect to the environmental management system by supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility?	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	24	Has Top Management established, implemented and maintained as documented information (See 7.5.1) an environmental policy, with regard to the scope of our EMS, is appropriate to the context; including the nature, scale, and environmental impacts of your organization's activities, products and services?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.2	Environmental Policy	25	Has Top Management established, implemented and maintained as documented information (See 7.5.1) an environmental policy, with regard to the scope of our EMS to provide a framework within which to establish and document our environmental objectives?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			