ISO 50001:2018 Master Internal Audit Checklist

Quick links: Process List | Recommendations | Root-cause List | Result List | Errors

Before you begin auditing, review and edit the process name list in Cell C233. This will populate the drop-down menus in Column F and various axes within the audit result charts. Use the drop-down menu in Column G to select one of four audit findings defined by the audit criteria. Column H will automatically display a recommendation based on the audit finding. The response is then automatically represented as an 'x' in either Column I, J, K, or L. These columns are hidden. The indicator in Column M 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 N to select an appropriate root-cause. You can change this list by editing the root-cause list in Cell N445. Describe how to correct a nonconformance or adopt an opportunity in Col O. Record audit evidence, such as document numbers and revisions in Col P.

						Audit Findings & Actions					
Main Clause	Sub-clause	Clause Title	Q-No	Requirements/Questions	Process Name	Audit Result	Recommendations	Score	Possible Root-cause	Action Plan	Audit Evidence & Notes
4.1	4.1	Context of the Organization	1	Has your organization determined external and internal issues (Incl. whether climate change is a relevant issue [Amd 1:2024]) are applicable to its purpose and its strategic direction that affects its ability to achieve the intended result(s) of its EnMS (Energy Management System)?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.2	4.2a	Understanding the Needs and Expectations of Interested Parties	2	Does your organization determine the interested parties that are relevant to energy performance and the EnMS (Energy Management System)?	Business Planning	Minor NC	Identify and discuss the root-cause within 4 weeks and correct.	75	Process - Procedures or work-instructions were inadequate/non-existent	Review and rewrite WI	
4.2	4.2b	Understanding the Needs and Expectations of Interested Parties	3	Does your organization determine the requirements (Incl. those relating to climate change [Amd 1:2024]) of the interested parties that are relevant to the EnMS?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.2	4.2c	Understanding the Needs and Expectations of Interested Parties	4	Does your organization determine which of the identified needs and expectations the organization addresses through its EnMS?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.2	4.2	Understanding the Needs and Expectations of Interested Parties	5	Does you organization ensure that it has access to the applicable legal requirements and other requirements related to its energy efficiency, energy use and energy consumption?	Business Review	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.2	4.2	Understanding the Needs and Expectations of Interested Parties	6	Does you organization determine how these requirements apply to its energy efficiency, energy use and energy consumption; ensure that these requirements are taken into account?	Business Review	Major NC	Contain the problem immediately. Identify the root-cause within one week and correct.	25	Human - Inadequate management involvement	Reinforce training	
4.2	4.2	Understanding the Needs and Expectations of Interested Parties	7	Does you organization review at defined intervals its legal requirements and other requirements?	Business Review	Major NC	Contain the problem immediately. Identify the root-cause within one week and correct.	25	Human - Inadequate management involvement	Reinforce training	
4.3	4.3	Management System Scope	8	Does your organization determine the boundaries and applicability of the EnMS to establish its scope?	Management System	Major NC	Contain the problem immediately. Identify the root-cause within one week and correct.	25	Human - Inadequate management involvement	Reinforce training	
4.3	4.3a	Management System Scope	9	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	4.3b	Management System Scope	10	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	4.3	Management System Scope	11	Does your organization ensure that it has the authority to control its energy efficiency, energy use and energy consumption within the scope and boundaries?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.3	4.3	Management System Scope	12	Does your organization ensure that it does not exclude an energy type within the scope and boundaries?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.3	4.3	Management System Scope	13	Is your organization's EnMS scope and boundaries maintained as documented information (see 7.5)?	Management System	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
4.4	4.4	Energy Management System	14	Has your organization established, implemented, maintained and continually improved its EnMS, including the processes needed and their interactions, and continually improve energy performance in accordance with the requirements of ISO 50001:2018?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1	5.1a	Leadership & Commitment	15	Does Top management demonstrate leadership and commitment with respect to continual improvement of its energy performance and the effectiveness of the EnMS by ensuring that the EnMS scope and boundaries are established?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1	5.1b	Leadership & Commitment	16	Does Top management demonstrate leadership and commitment with respect to continual improvement of its energy performance and the effectiveness of the EnMS by ensuring that the energy policy (see 5.2), objectives and energy targets (see 6.2) are established and are compatible with the strategic direction of the organization?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1	5.1c	Leadership & Commitment	17	Does Top management demonstrate leadership and commitment with respect to continual improvement of its energy performance and the effectiveness of the EnMS by ensuring the integration of the EnMS requirements into the organization's business processes and activities that are core to the purposes of the organization?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1	5.1d	Leadership & Commitment	18	Does Top management demonstrate leadership and commitment with respect to continual improvement of its energy performance and the effectiveness of the EnMS by ensuring that action plans are approved and implemented?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1	5.1e	Leadership & Commitment	19	Does Top management demonstrate leadership and commitment with respect to continual improvement of its energy performance and the effectiveness of the EnMS by ensuring that the resources needed for the EnMS are available?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1	5.1f	Leadership & Commitment	20	Does Top management demonstrate leadership and commitment with respect to continual improvement of its energy performance and the effectiveness of the EnMS by communicating the importance of effective energy management and of conforming to the EnMS requirements?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1	5.1g	Leadership & Commitment	21	Does Top management demonstrate leadership and commitment with respect to continual improvement of its energy performance and the effectiveness of the EnMS by ensuring that the EnMS achieves its intended outcome(s)?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1	5.1h	Leadership & Commitment	22	Does Top management demonstrate leadership and commitment with respect to continual improvement of its energy performance and the effectiveness of the EnMS by promoting continual improvement of energy performance and the EnMS?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1	5.1i	Leadership & Commitment	23	Does Top management demonstrate leadership and commitment with respect to continual improvement of its energy performance and the effectiveness of the EnMS by ensuring the formation of an energy management team?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1	5.1j	Leadership & Commitment	24	Does Top management demonstrate leadership and commitment with respect to continual improvement of its energy performance and the effectiveness of the EnMS by directing and supporting persons to contribute to the effectiveness of the EnMS and to energy performance improvement?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1	5.1k	Leadership & Commitment	25	Does Top management demonstrate leadership and commitment with respect to continual improvement of its energy performance and the effectiveness of the EnMS by supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1	5.1l	Leadership & Commitment	26	Does Top management demonstrate leadership and commitment with respect to continual improvement of its energy performance and the effectiveness of the EnMS by ensuring that the EnPI(s) appropriately represent(s) energy performance?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.1	5.1m	Leadership & Commitment	27	Does Top management demonstrate leadership and commitment with respect to continual improvement of its energy performance and the effectiveness of the EnMS by ensuring that processes are established and implemented to identify and address changes affecting the EnMS and energy performance within the scope and boundary of the EnMS?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.2	5.2a	Energy Policy	28	Has Top management established an energy policy that is appropriate to the purpose of the organization?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.2	5.2b	Energy Policy	29	Has Top management established an energy policy that provides a framework for setting and reviewing objectives and energy targets (see 6.2)?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.2	5.2c	Energy Policy	30	Has Top management established an energy policy that includes a commitment to ensure the availability of information and necessary resources to achieve objectives and energy targets?	Business Planning	Conforms	Continue to monitor trends and indicators to determine ongoing stability.	100			
5.2	5.2d	Energy Policy	31	Has Top management established an energy policy that includes a commitment to satisfy applicable legal requirements and other requirements (see 4.2) related to energy efficiency, energy use and energy consumption?	Business Planning	Minor NC	Identify and discuss the root-cause within 4 weeks and correct.	75	Human - Poor employee involvement	Reinforce training	
5.2	5.2e	Energy Policy	32	Has Top management established an energy policy that includes a commitment to continual improvement (see 10.2) of energy performance and the EnMS?	Business Planning	Major NC	Contain the problem immediately. Identify the root-cause within one week and correct.	25	Human - Poor employee involvement	Reinforce training	
5.2	5.2f	Energy Policy	33	Has Top management established an energy policy that supports the procurement (see 8.3) of energy efficient products and services that impact energy performance?	Business Planning	Opportunity	Review and implement actions to deploy the opportunity to improve the process(s).	100	Opportunity for improvement	Job descriptions to be signed off	