

COMPANY: _____

Internal Audit Check Sheets
ISO 14001:2015

Company: _____

Location: _____

Date: _____

Lead Auditor: _____

COMPANY: _____

Internal Auditing Check Sheet- Guidelines ISO 14001:2015

The Check Sheets provide questions the Internal Auditors can use in auditing conformance to the Environmental Management System, ISO 14001 at the 2015 revision. The questions are built around an organization with high environmental impact. When auditing organizations with low impact, the auditor should designate status as “not applicable” where requirements do not apply. Examples would be in clause 6.1.3 Compliance Obligations: If the organization does not have oil storage at the regulated quantity, the Federal Oil Pollution Act of (OPA) would not apply.

Guidelines for completing the Check Sheets:

1. The “Audit Schedule” should be approved by a member of the organization’s management at the start of the audit cycle. When changes are made in timing or auditors, records with justification for changes should be maintained.
2. An “Audit Report” should be prepared at the close of the audit. The report should include a summary of what was audited, the findings and plans for follow-up.
3. Objective evidence of documents, records audited need to be maintained; can be attachments or notations on the Check Sheets. When using the Check Sheets, the revision level of the procedure, date of record or report, individual interviewed needs to be listed.
4. When sampling or interviewing employees, the auditor needs to decide on how many samples to take. Best approach is to start with 2 or 3 samples. If uncertainty or errors, then take additional samples.
5. Auditors should have the Lead Auditor clearly define the process for identifying non-conformances. In general, if there is nonconformity to a requirement of the ISO14001 standard - a statement in the standard that includes a “shall”, then the potential exists to record a nonconformance. (NOTE: In the cksheets, “needs to” or “should” is the same as “shall”). Additionally, if the organization has committed to a requirement in their documentation, then evidence needs to exist that the organization conforms to their planned arrangement.
6. Nonconformances should include: what’s the *requirement*; what’s the *nonconformance*; and what’s the *supporting evidence*.
7. When an auditor provides an “Opportunity for Improvement”, the auditor (or Lead Auditor) should review whether the process owner accepts the suggestion and the plan for dealing with the suggestion.
8. While “positive comments” are not specified on the Check Sheets, it is always good policy to include positive comments in the Audit Report Summary.
9. Recall from the Internal Auditor training, an auditor should:
 - Be objective
 - Be open minded
 - Listen
 - Communicate clearly
 - Report fairly without bias.

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Process: Understanding the organization and its context (Context, Scope, Boundaries, Interested parties)		Clauses: 4.1-4.4
Date:		
Auditor:	Auditees:	
C = conforming; NC= nonconforming; O= Opportunity		

<p>4.1: Understanding the organization and its context: The organization needs to determine external and internal issues that are relevant to its purpose and that affect its ability to achieve the intended outcomes of its environmental management system. Such issues should include environmental conditions being affected by or capable of affecting the organization.</p> <p style="text-align: right;">C/NC/O</p>		
<p>4.1 What are the important issues that can affect, either positively or negatively, the way the organization manages its environmental responsibilities? Examples would be:</p> <ul style="list-style-type: none"> - Air emissions; climate change - Existing land contamination - Neighboring waterways - Biodiversity (local flora-fauna) 		
<p>4.2 What are the issues related to interested parties (customers, community, neighbors) related to the organization's environmental management and environmental compliance obligations? Examples would be:</p> <ul style="list-style-type: none"> - End of Life product disposal - Voluntary labelling on products - Reduction of unregulated materials (Styrofoam- PVC) - Sustainable resources - Commitments to maintain adjacent community land or water ways 		
<p>4.3 Has the organization defined and documented the scope of its environmental management system? (Scope is defined as activities, products and services of the organization to include all site addresses and buildings).</p>	Record scope:	
<p>Where is the scope defined? If the organization has a Quality Management System, are the scopes the same?</p>		

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4.1 External and internal issues that are relevant to the EMS (cont.)		
Does the organization own the property? If not, ensure environmental responsibilities are defined.	Record Lease Agreement (if applicable):	
Verify boundaries on exterior of site. If organization leases areas of the site to other company(s), determine how the organization ensures the renter's activities do not have negative impact on the organization's EMS.	Describe renter's activities (if applicable): Potential impact on EMS:	
Comments/ NCs/ Opportunities		

COMPANY: _____

Process: Leadership and commitment		Clauses: 5.1
Date:		
Auditor:	Auditees:	
C = conforming; NC= nonconforming; O= Opportunity		

5.1: Leadership and commitment: Top management needs to demonstrate leadership and commitment with respect to the environmental management system.		
How has Top Management supported the establishment of the environmental policy and environmental objectives?		
How has Top Management integrated the environmental policy and objectives with the strategic direction, business processes and the context of the organization?		
What is the evidence to indicate Top management provides resources to support the environmental management system?	EMS staff: New equipment:	
Comments/ NCs/ Opportunities		

COMPANY: _____

Process: Environmental Policy		Clause: 5.2
Date:		
Auditor:	Auditees:	
C = conforming; NC= nonconforming; O= Opportunity		

5.2: Environmental Policy: Top management needs to establish, implement and maintain an environmental policy that, within the defined scope of its environmental management system:		
What is the organization's Environmental policy?	Record Environmental Policy:	
Does the policy include?		
-Commitment to continual improvement		
-Commitment to the protection of the environment , including prevention of pollution and other specific commitments relevant to the context of the organization;		
-A commitment to comply with applicable compliance obligations?		
- A commitment to comply with "other" requirements; (customer, industry, corporate)		
How is the policy documented- signed and dated?		
How is it communicated to employees- temporary help-contractors?		
How is it made available to the public?		
Comments/ NCs/ Opportunities		

COMPANY: _____

Process: Organizational roles, responsibilities and authorities		Clauses: 5.3
Date:		
Auditor:	Auditees:	
C = conforming; NC= nonconforming; O= Opportunity		

<p>5.3: Organizational roles, responsibilities and authorities: Top management needs to ensure that the responsibilities and authorities for relevant roles are assigned and communicated within the organization. Top management should assign the responsibility and authority for: ensuring that the environmental management system conforms to the requirements of this International Standard; reporting on the performance of the environmental management system, including environmental performance, to top management.</p>		
<p>How does Top Management ensure that the environmental management system conforms to the requirements of this International Standard? <i>(interview Top Management)</i></p>		
<p>Describe authorities as applicable:</p> <ul style="list-style-type: none"> -Communicating with Regulatory bodies and the public. -Releasing Hazardous waste manifests (if applicable) -Approving reports to Regulatory bodies -Other authorities? 		
<p>What individual (title) has the responsibility to report the performance of the environmental management system to top management? How is the reporting done?</p>		
<p>Comments/ NCs/ Opportunities</p>		

COMPANY: _____

Process: Environmental Aspects		Clauses: 6.1.2	
Date:			
Auditor:		Auditees:	
C = conforming; NC= nonconforming; O= Opportunity			

6.1.2: Environmental Aspects: Within the defined scope of the environmental management system, the organization needs to determine the environmental aspects of its activities, products and services that it can control and those that it can influence, and their associated environmental impacts, considering a life cycle perspective.

How has the organization identified and documented the environmental aspects of its activities, products and services within the defined scope of the Environmental management system that it can control? Process used?	Procedure:	
What are the manufacturing processes?		
Sources for air discharges?		
Sources of waste water?		
Storage/ Handling of Chemicals?		
Types of Waste at site?		
Utilities at site?		
What are the aspects related to the plant exterior?		
What are the aspects related to maintenance?		

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Environmental aspects (continued)		
How does the organization keep the Aspects List up-to-date?		
<p>How has the organization considered the external and internal issues that are relevant to its purpose; the needs and expectations of interested parties; Identified abnormal and potential emergency situations when establishing its environmental aspects?</p> <p>Examples:</p> <ul style="list-style-type: none"> -Reduction of fossil based fuel sources -Eco-friendly packaging -Neighbors -Community 		
How are new developments, or new or modified activities, products and services reviewed as potential new aspects?		
How does the organization determine which aspects have a significant impact on the environment?		
What are current Significant Environmental Aspects?		
Comments/ NCs/ Opportunities		

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Process: Compliance Obligations		Clauses: 6.1.3
Date:		
Auditor:	Auditees:	
C = conforming; NC= nonconforming; O= Opportunity		

6.1.3 Compliance obligations: The organization needs to: determine and have access to the compliance obligations related to its environmental aspects; determine how these compliance obligations apply to the organization; take these compliance obligations into account when establishing, implementing, maintaining and continually improving its environmental management system		
How has the organization determined and documented the legal and other requirements (compliance obligations) applicable to their processes and environmental aspects?	Procedure:	
How are the Legal requirements connected or linked to the defined environmental aspects?		
Is the relevant Federal or state regulation listed (strictest regulation)?		
Does the list define the organization’s status for each regulation- or reason why the regulation is not applicable to its operations?		
What are the Federal, State or Local permits applicable to the site?		
Are there any “legacy issues” (former site owner) active for the site? Define if applicable.		
How is the list maintained and kept up-to-date?		
What is the process for ensuring the list is updated when regulations change?		
What customer, industry or corporate requirements are applicable to the site?		

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6.1.3 Compliance Obligations (cont.)		
<u>Federal Environmental Laws that may apply (EPA)</u>		
Clean Air Act (CAA) Regulates air emissions from area, stationary and mobile sources.		
Clean Water Act (CWA) Storm water pollution prevention		
Resource Conservation and Recovery Act (RCRA) Regulates Hazardous waste generators		
Emergency Planning & Community Right-To-Know Act (EPCRA) Hazardous chemical storage reporting requirements		
Federal Insecticide, Fungicide and Rodenticide Act (FIFRA) Regulates manufacture and use of pesticides		
Oil Pollution Act of (OPA) Regulates storage of petroleum products		
Toxic Substances Control Act (TSCA) Tracks 75,000 industrial chemicals		
Universal Waste Regulates disposal of fluorescent tubes, batteries, electronic waste		
Ozone-depleting Substances (ODS) Regulates use of substances that can deplete ozone layer		
Other Regulations?		
Comments/ NCs/ Opportunities		

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Process: Planning action (risks)		Clauses: 6.1.4
Date:		
Auditor:	Auditees:	
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<p>6.1.4 Planning action: The organization should plan: to take actions to address its: significant environmental aspects; compliance obligations; and risks and opportunities identified- how to: integrate and implement the actions into its environmental management system processes or other business processes; evaluate the effectiveness of these actions. When planning these actions, the organization needs to consider its technological options and its financial, operational and business requirements.</p>		
<p>How does the organization integrate the environmental aspects and compliance obligations into the business of the organization and provide risk evaluation and planning to mitigate the risks?</p>		
<p>What process does the organization use to assess risk related to its identified environmental aspects and compliance obligations? Examples: -FMEA (failure mode effect analysis) - Significant Aspects ranking criteria?</p>		
<p>How does the organization evaluate the risks related to not meeting its compliance obligations? -Example: How are risks related to ensuring controls related to regulated aspects analyzed?</p>		
<p>When planning actions to address risks and opportunities how does the organization indicate it has considered its <u>technological options</u> and its <u>financial, operational and business requirements</u>? Examples: -Do improvement projects consider new technologies; cost benefits; changing regulatory laws?</p>		
<p>Comments/ NCs/ Opportunities</p>		

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Process: Environmental objectives		Clauses: 6.2.1
Date:		
Auditor:	Auditees:	
C = conforming; NC= nonconforming; O= Opportunity		

6.2.1 Environmental objectives: The organization needs to establish environmental objectives at relevant functions and levels, taking into account the organization's significant environmental aspects and associated compliance obligations, and considering its risks and opportunities		
How were the environmental objectives determined?	Procedure:	
What are the current objectives?		
Are the objectives measurable with a quantifiable target (goal)?		
When selecting objectives, how did the organization record its consideration of: <ul style="list-style-type: none"> - significant environmental aspects - technological options - financial, operational and business requirements, - compliance obligations - risks and opportunities 		
How are the objectives related to:		
Prevention of pollution?		
Reduction of waste?		

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6.2.1 Environmental Objectives (cont.)		
Reduction of utility use?		
Do the objectives have a measureable target (goal)?		
How are objectives supported throughout various levels in the organization?		
Comments/ NCs/ Opportunities		

Process: Planning actions to achieve environmental objectives		Clauses: 6.2.2
Date:		
Auditor:	Auditees:	
:		
C = conforming; NC= nonconforming; O= Opportunity		

<p>6.2.2 Planning actions to achieve environmental objectives: When planning how to achieve its environmental objectives, the organization should determine: what will be done; what resources will be required; who will be responsible; when it will be completed; how the results will be evaluated, including indicators for monitoring progress toward achievement of its measurable environmental objectives. The organization needs to consider how actions to achieve its environmental objectives can be integrated into the organization’s business processes.</p>		
<p>What process does the organization use to plan actions (programs) to achieve environmental objectives? How is the planning process documented?</p>	Procedure:	
<p>How do environmental programs record the target, responsibilities, timeline and means to achieve?</p>		
<p>How does the organization integrate environmental programs to achieve its environmental objectives into the organization’s business processes? Examples: -Are environmental objectives included in the organizations business metrics or KPIs (key process indicators)? - Do the environmental objects link to quality or business objectives? Example?</p>		
<p>How are the objectives tracked and results evaluated?</p>		

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6.2.2 Planning actions to achieve environmental objectives (cont.)		
<i>Describe examples of current programs:</i>		
Comments/ NCs/ Opportunities		

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Process: Competence		Clauses: 7.2
Date:		
Auditor:	Auditees:	
:		
C = conforming; NC= nonconforming; O= Opportunity		

<p>7.2 Competence: The organization needs to: determine the necessary competence of persons doing work under its control that affects its environmental performance and its ability to fulfil its compliance obligations; ensure that these persons are competent on the basis of appropriate education, training or experience; determine training needs associated with its environmental aspects and its environmental management system; where applicable, take actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken.</p>		
<p>What process has the organization established to determine the competence for persons doing work under its control that affect the organization's environmental performance?</p>	Procedure:	
<p>Does the process include:</p>		
<p>-the importance of conformity with the requirements of the environmental management system.</p>		
<p>-the environmental aspects and related actual or potential impacts associated with their work.</p>		
<p>-their roles and responsibilities in achieving conformity with the requirements of the environmental management system.</p>		
<p>-the potential consequences of departure from specified procedures</p>		
<p>How has the organization identified training needs associated with its environmental aspects and its environmental management system?</p>		
<p>What are the tasks requiring training in the EMS?</p>		
<p>- Waste water treatment</p>		
<p>- Handling Hazardous waste</p>		
<p>- Operation of air controls</p>		
<p>- Storm Water</p>		
<p>- Spill Plans</p>		
<p>-</p>		

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7.2 Competence (cont.)		
- Other Tasks in EMS?		
Describe tasks with external training requirements with certificates or license.		
<i>Sample several employees' records for documentation of their competence/ training to perform assigned tasks.</i> -Job descriptions; -Training Records and licenses;		
How are contractors or temporary employees made aware of the organization's environmental requirements and the potential consequences of departure from specified procedures?		
<i>Sample several contractors (or records) for their awareness of the organization's environmental requirements.</i>		
Comments/ NCs/ Opportunities		

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Process: Awareness		Clauses: 7.3
Date:		
Auditor:	Auditees:	
C = conforming; NC= nonconforming; O= Opportunity		

<p>7.3 Awareness The organization need to ensure that persons doing work under the organization's control are aware of: the environmental policy; the significant environmental aspects and related actual or potential environmental impacts associated with their work; their contribution to the effectiveness of the environmental management system, including the benefits of enhanced environmental performance; the implications of not conforming with the environmental management system requirements, including not fulfilling the organization's compliance</p>		
<p>How does the organization make persons working under its control aware of the elements of its environmental management system? NOTE: some overlap of Awareness requirements with Communications and Training. For Awareness, the following notes can be observed:</p>		
<p>How does the organization make the workers aware of the intent and results of the environmental management system? Examples: -Employee meetings -Bulletin boards</p>		
<p><i>Interview several employees.</i> Are they aware of the environmental policy, the organization's objectives; their role in achieving the objectives and maintaining compliance with regulatory obligations?</p>		
<p>Comments/ NCs/ Opportunities</p>		

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Process: Communication		Clauses: 7.4
Date:		
Auditor:	Auditees:	
C = conforming; NC= nonconforming; O= Opportunity		

7.4.1 General: The organization should establish, implement and maintain the processes needed for internal and external communications relevant to the environmental management system, including: on what it will communicate; when to communicate; with whom to communicate; how to communicate		
7.4.2 Internal Communications: How does the organization provide communications to the various levels and functions of the organization?	Procedure:	
How are changes affecting the environmental management system communicated to impacted employees? Examples: -Revisions to work instructions -Performance against goals		
7.4.3 External Communications: How does the organization receive, document and respond to relevant communication from external interested parties? Is the Environmental Policy available to the public? How?		
-Regulatory bodies:		
-Neighbors or other interested parties:		
Comments/ NCs/ Opportunities		

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Process: Documentation		Clauses: 7.5.1
Date:		
Auditor:	Auditees:	
C = conforming; NC= nonconforming; O= Opportunity		

7.5.1 General: The organization's environmental management system should include: documented information required by this International Standard; documented information determined by the organization as being necessary for the effectiveness of the environmental management system		
Where are the following documented?	Procedure:	
-The environmental policy, objectives and targets		
-Description of the scope, boundaries and context of the environmental management system		
How does the organization describe the main elements of the environmental management system and their relationship with ISO14001?		
What documented information of the environmental management system is necessary for the organization to maintain the effectiveness of the environmental management system?		
Which elements require a procedure or documented instruction to ensure the effective planning, operation and control of processes that relate to its environmental aspects?		
How does the organization provide linkage or reference to lower level documentation?		
How are external documents maintained? (regulatory permits, licenses)		
Comments/ NC/ Opportunities:		

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Process: Creating and Updating		Clauses: 7.5.2
Date:		
Auditor:	Auditees:	
C = conforming; NC= nonconforming; O= Opportunity		

<p>7.5.2 Creating and Updating: When creating and updating documented information, the organization needs to ensure appropriate: identification and description (e.g. a title, date, author, or reference number); format (e.g. language, software version, graphics) and media (e.g. paper, electronic); review and approval for suitability and adequacy.</p>		
<p>NOTE: ISO14001: 2015 has some overlap in clause 7.5.2, Creating and Updating and 7.5.3, Control of documented information. Suggest the auditors use 7.5.2 to cover how the organization CREATES documents and 7.5.3 for how the organization CONTROLS documents, including what have been ENVIRONMENTAL RECORDS in previous ISO14001 revisions.</p>		
When creating or updating documented information, how does the organization define the process for:	Procedure:	
-the identification and description (e.g. a title, date, author, or reference number) for each document.		
-the format (e.g. language, software version, graphics) and media (e.g. paper, electronic) for each document.		
-the process to approve of documents for adequacy prior to issue?		
<p>Comments/ NCs/ Opportunities:</p>		

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Process: Control of documented information (including Environmental Records):		Clauses: 7.5.3
Date:		
Auditor:	Auditees:	
C = conforming; NC= nonconforming; O= Opportunity		

7.5.3 Control of documented information: Documented information required by the environmental management system and by this International Standard should be controlled to ensure: it is available and suitable for use, where and when it is needed; it is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity)		
How does the Document Control procedure define :	Procedure:	
-process to change documents and provide revision control and record of change?		
-process to ensure relevant versions of applicable documents are available at points of use		
-the process to review and update procedures and work instructions to ensure they are being used by employees as documented?		
-process to prevent the unintended use of obsolete documents and that the documents remain legible and readily identifiable?		
-process to ensure documents of external origin required for the environmental management system are identified and their distribution controlled?		
If control of environmental management system documentation is combined with quality management system documentation, describe how the quality documentation is referenced in the EMS.		
Comments/ NCs/ Opportunities:		

7.5.1/7.5.3 -Environmental RECORDS (cont.):			
<p>7.5.1 General :The organization's environmental management system needs to include: documented information required by this International Standard; documented information determined by the organization as being necessary for the effectiveness of the environmental management system</p> <p>7.5.3 Control of documented information: For the control of documented information, the organization needs to address the following activities as applicable: distribution, access, retrieval and use; storage and preservation, including preservation of legibility; control of changes (e.g. version control); retention and disposition.</p>			
<p>How does the organization identify, store and protect <u>records</u> required to demonstrate conformity to its environmental management system?</p> <p>-Where are the environmental records identified? (records list, procedure, work instruction)</p> <p>-How are the records accessed?</p> <p>-Is the retention time for records defined?</p> <p>-What is the process used to dispose of records?</p>	<p>Procedure:</p>		
Environmental Records Review:	Applicable?	Sample during audit	
- Plant Inspections			
- Environmental Incident Report			
- Management Review Notes			
- Compliance Audit Reports			
- Corrective/ Preventive Actions			
- Internal Audit Reports			
- Communications Log			
- EMS Training Records			
- Contractor Awareness			
- Hazardous Waste Manifests			
- Maintenance Check Lists			
- Other?			
<p>Comments/ NCs/ Opportunities:</p>			

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Process: Operational planning and control		Clause: 8.1
Date:		
Auditor:	Auditees:	
C = conforming; NC= nonconforming; O= Opportunity		

8.1 Operational planning and control: The organization needs to establish, implement, control and maintain the processes needed to meet environmental management system requirements, and to implement the actions identified in 6.1 (environmental aspects and 6.2(compliance obligations) by: establishing operating criteria for the process(es); implementing control of the process(es), in accordance with the operating criteria.		
What are the environmental aspects or activities that require operational controls?	<i>Define operating controls as applicable for each aspect. Include records and names of employees interviewed</i>	
- Handling hazardous waste		
- Disposal of universal waste		
- Control of air emissions		
- Process water treatment		
- Maintenance		
- Chemical handling		
- Plant support equipment (Air compressors, chillers, cooling towers, etc.)		

<p>8.1 Operational Planning and Control (cont.)</p>		
<p>Define the operating controls in place related to outsourced processes -suppliers and contractors (as applicable). Examples:</p> <ul style="list-style-type: none"> -Cleaning services -Waste removal -Maintenance -Construction -Other? 		
<p>How does the organization include environmental controls during the design/ development process (if applicable)?</p>		
<p>List the operational controls related to delivery of the products or services and during use and end-of-life treatment of the product (if applicable).</p>		
<p>Comments/ NCs/ Opportunities:</p>		

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Process: Emergency preparedness and response		Clause: 8.2
Date:		
Auditor:	Auditees:	
C = conforming; NC= nonconforming; O= Opportunity		

8.2 Emergency preparedness and response: The organization needs to establish, implement and maintain the processes needed to prepare for and respond to potential emergency situations identified in Planning Actions to Address Risks (6.1.1).		
How has the organization documented the emergency planning related to situations that can impact the environment?	Procedure:	
If the Emergency Procedures are combined with Hazardous Waste Contingency Plans, Storm Water Plans and Spill Plans, review how the Integrated Plans are controlled and maintained.		
How has the organization outlined its response to:		
- A fire?		
-Inclement weather?		
-Liquid spills?		
-Unintended release of gases?		
-Other accidents/ situations?		
How are the emergency procedures reviewed and revised following the occurrence of accidents or emergency situations?		
How has coordination with the local fire department and other authorities been considered (if applicable)?		

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8.2 Emergency preparedness and response (cont.)		
What are the plans to test the emergency response plans, if practicable? Frequency defined?		
If testing is not done, how does the organization ensure the emergency responses will be effective if needed?		
How are deficiencies discovered during testing responded to and resolved? Examples?		
Define how the emergency support devices are maintained (sprinklers, fire pumps, alarms, etc.). Records?		
Comments/ NCs/ Opportunities:		

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Process: Monitoring and measurement		Clause: 9.1.1
Date:		
Auditor:	Auditees:	
C = conforming; NC= nonconforming; O= Opportunity		

<p>9.1.1 General: Monitoring and measurement: The organization needs to monitor, measure, analyze and evaluate its environmental performance. The organization should determine: what needs to be monitored and measured; the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results; the criteria against which the organization will evaluate its environmental performance, and appropriate indicators; when the monitoring and measuring should be performed; when the results from monitoring and measurement should be analyzed and evaluated.</p>		
How is each Significant Environmental Aspects monitored or measured?		
How are the other Environmental Aspects monitored or measured? Examples as applicable:		
-Air discharges		
-Waste		
-Water discharges		
-Chemical handling		
-Recycle		
-Resource use		

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Monitoring and measurement (cont.)		
How are Environmental Objectives and Targets monitored or measured?		
How are devices used to measure regulated parameters calibrated or verified? Examples: -Flow meters -pH devices -Air discharges -Gas analyzers -Controllers -Gages		
Comments/ NCs/ Opportunities:		

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Process: Evaluation of compliance		Clause: 9.1.2
Date:		
Auditor:	Auditees:	
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9.1.2 Evaluation of compliance: The organization needs to establish, implement and maintain the processes needed to evaluate fulfilment of its compliance obligations		
How does the organization audit the Legal and Regulatory requirement as listed in section 6.1.3	Procedure:	
Where is the Compliance Plan documented? Frequency?		
Who conducts Compliance Audits and how were they qualified?		
Review current Compliance Audit:	<i>Record date of recent Compliance Audit</i>	
- Legal List up-to-date?		
- Permits current?		
- Notifications to Regulatory agencies current?		
- Evidence of required inspections reviewed?		
How are deficiencies discovered during Compliance Audits responded to and resolved? Examples?		

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9.1.2 Evaluation of compliance (cont.)		
What are the "other" environmental requirements related to Customers, Industry or Corporate?		
How does the organization audit compliance to "other" requirements?		
Comments/ NCs/ Opportunities:		

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Process: Internal audit programme		Clause: 9.2.1/9.2..2
Date:		
Auditor:	Auditees:	
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9.2.2 Internal audit programme: The organization needs to establish, implement and maintain an internal audit programme, including the frequency; methods; responsibilities; planning requirements and reporting of its internal audits.		
How does the organization plan and schedule internal audits of the environmental management system? What is the frequency of conducting internal audits?	Procedure:	
How are the internal auditors trained and qualified to perform internal audits? Record of training?		
How does the organization ensure the internal audits are conducted with objectivity and the impartiality?		
List which functional areas are represented by internal auditors:		
What methods are used by the internal auditors to collect information regarding the environmental aspects, processes, procedures, instructions and requirements related to the environmental management system?		

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9.2.2 Internal audit (cont.)		
Sample several internal auditor reports:		
How are discrepancies or nonconformities (findings) discovered when conducting internal audits of the environmental management system recorded?		
Sample several internal audit findings. Review follow-up and closure of findings.		
Comments/ NCs/ Opportunities:		

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Process: Management review		Clause: 9.3
Date:		
Auditor:	Auditees:	
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9.3 Management review: Top management needs to review the organization's environmental management system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness.		
How frequent does the organization review suitability, adequacy and effectiveness of its environmental management system?	Date of most recent Management Review:	
How does the organization's Management Review cover the following:		
- Results of internal audits.		
- Evaluations of compliance with regulatory obligations and with other requirements (corporate, customer, industry).		
- Communications from external interested parties, including complaints.		
- The environmental performance of the organization (use of resources, cost of waste, cost of utilities).		
- The extent to which objectives and targets have been met.		
- Status of corrective and preventive actions		
- Follow-up actions from previous management reviews.		

9.3 Management review (cont.)		
Changing circumstances, including <ul style="list-style-type: none"> - the needs and expectations of interested parties, - compliance obligations related to its environmental aspects; - its significant environmental aspects; - risks and opportunities; 		
<ul style="list-style-type: none"> - Recommendations for improvement. - Need for additional resources 		
How does the organization record decisions regarding changes made during Management Review meetings?		
<ul style="list-style-type: none"> - Environmental policy 		
<ul style="list-style-type: none"> - Objectives, targets 		
What evidence supports the organization's commitment to continual improvement?		
How does the organization summarize the suitability, adequacy and effectiveness of its environmental management system?		
<ul style="list-style-type: none"> - Suitable= is the environmental management system appropriate to the organization's environmental aspects and impacts? 		
<ul style="list-style-type: none"> - Effective= has the organization met the objectives and targets established in support of its environmental management system? 		
<ul style="list-style-type: none"> - Adequate= does the organization's environmental management system satisfy the requirements of ISO14001:2015 		
Comments/ NCs/ Opportunities:		

COMPANY: _____

Process: Nonconformity and corrective action		Clause: 10.2
Date:		
Auditor:	Auditees:	
C = conforming; NC= nonconforming; O= Opportunity		

10.2 Nonconformity and corrective action: When nonconformity occurs, the organization needs to: react to the nonconformity and, as applicable take action to control and correct it.		
How are nonconformities identified that could have an environmental impact?	Procedure:	
How does the organization identify the need for actions to correct nonconformities?		
- Plant inspections		
- Results of audits		
- Results of drills or emergency situations		
Record evidence of changes to environmental management system documentation as a result of corrective actions.		

COMPANY: _____

10,2 Nonconformity corrective action (cont.)		
Record samples of Corrective Actions to review effectiveness of analysis of causes; timely closure and measure of effectiveness.		
Comments/ NCs/ Opportunities:		

COMPANY: _____

Process: Continual improvement		Clause: 10.3
Date:		
Auditor:	Auditees:	
C = conforming; NC= nonconforming; O= Opportunity		

10.3 Continual improvement: The organization should continually improve the suitability, adequacy and effectiveness of the environmental management system to enhance environmental performance.		
Describe programs or initiatives employed by the organization to improve the effectiveness of the environmental management system. Examples:		
- Environmental Programs		
- Employee Teams		
- Other Initiatives		
Review the trends in:		
- Resource use (utilities)		
- Waste Reduction		
- Hazardous Waste		
- Recycle		
- Environmental Incidents		
- Complaints		
Comments/ NCs/ Opportunities:		