

[organization name]

Appendix 2 – ISO 14001:2015 Internal Audit Checklist

ISO 14001 Clause	Requirement of the standard	Compliant Yes/No	Evidence
4.1	Did the organization determine external and internal issues relevant to its purpose?		
4.1			
4.2-1	Did the organization determine interested parties that are relevant to its EMS?		
4.2-2			
4.2-3	Do some expectations from the organization become its compliance obligations?		
4.3			
4.3-1	When determining the scope, had the organization considered external and internal issues referred to in 4.1?		
4.3-2			
4.3-3	When determining the scope, had the organization considered its organizational units, functions, and physical boundaries?		
4.3-4			
4.3-5	When determining the scope, had the organization considered its authority and ability to exercise control and influence?		
4.3-6			
4.3-7	Does the organization maintain its scope as documented information?		
4.4			
5.1-1	Did top management take accountability for the effectiveness of the organization's EMS?		
5.1-2			

Commented [9A1]: 1) Note 1: The term “documented procedure” means that the standard requires the organization to establish, document, apply, and maintain the procedure.

2) Note 2: Scope of IMS can differ from one organization to another and depends on:

- a) Size and type of organization
- b) Complexity and interaction of processes
- c) Competence of employees.

3) Note 3: Documentation can be in any form and any type of medium.

Commented [9A2]: These are the requirements of the ISO 14001 standard; you should also insert the specific requirements from your own documentation.

Note that this is the complete set of requirements and can either be done at one time, several times, or split throughout the year as per the “Appendix 3 - Annual Internal Audit Program.” The important thing is that the entire system be audited at least once annually.

Commented [9A4]: To be filled in during the audit – records, verbal statements, or auditor’s personal observations that confirm the finding.

Commented [9A3]: To be filled in during the audit – fill in Yes or No depending on whether the company is compliant or not.

[organization name]

ISO 14001 Clause	Requirement of the standard	Compliant Yes/No	Evidence
	context of the organization?		
5.1-3			
5.1-4	Does the top management ensure availability of the resources needed for the EMS?		
5.1-5			
5.1-6	Does the top management ensure that the EMS achieves its intended outcomes?		
5.1-7			
5.1-8	Does the top management promote continual improvement?		
5.1-9			
5.2-1	Did the organization establish, implement, and maintain its Environmental Policy within the scope of the EMS?		
5.2-2			
5.2-3	Does the Environmental Policy provide the organization with a framework for setting environmental objectives?		
5.2-4			
5.2-5	Does the Environmental Policy help the organization to continually improve its EMS?		
5.2-6			
5.2-7			
5.2-8	Has the organization documented its Environmental Policy?		
5.3-1			
5.3-2	Did top management assigned person(s) responsible to ensure that the EMS conforms to the requirements of the standard?		
5.3-3			

Commented [9A2]: These are the requirements of the ISO 14001 standard; you should also insert the specific requirements from your own documentation.

Note that this is the complete set of requirements and can either be done at one time, several times, or split throughout the year as per the "Appendix 3 - Annual Internal Audit Program." The important thing is that the entire system be audited at least once annually.

Commented [9A4]: To be filled in during the audit – records, verbal statements, or auditor’s personal observations that confirm the finding.

Commented [9A3]: To be filled in during the audit – fill in Yes or No depending on whether the company is compliant or not.

[organization name]

ISO 14001 Clause	Requirement of the standard	Compliant Yes/No	Evidence
6.1.1-1	Has the organization determined its risks and opportunities?		
6.1.1-2			
6.1.1-3	Is the organization able to achieve the intended outcomes of its EMS?		
6.1.1-4			
6.1.1-5	Does the organization have risks related to environmental conditions?		
6.1.1-6			
6.1.1-7	Does the organization have risks related to expectations of interested parties?		
6.1.1-8			
6.1.1-9	Did the organization determine its potential emergency situations?		
6.1.1-10			
6.1.1-11	Does the organization have a method to determine its EMS risks and opportunities?		
6.1.1-12			
6.1.2-1	Did the organization determine its environmental aspects and associated environmental impacts?		
6.1.2-2			
6.1.2-3	Did the organization consider a lifecycle perspective during determination of environmental aspects?		
6.1.2-4			
6.1.2-5	Does the organization communicate about its environmental aspects on various levels and functions?		
6.1.2-6			
6.1.2-7	Does the organization maintain documented information of criteria used to determine its significant environmental aspects?		

Commented [9A2]: These are the requirements of the ISO 14001 standard; you should also insert the specific requirements from your own documentation.

Note that this is the complete set of requirements and can either be done at one time, several times, or split throughout the year as per the "Appendix 3 - Annual Internal Audit Program." The important thing is that the entire system be audited at least once annually.

Commented [9A4]: To be filled in during the audit – records, verbal statements, or auditor's personal observations that confirm the finding.

Commented [9A3]: To be filled in during the audit – fill in Yes or No depending on whether the company is compliant or not.

[organization name]

ISO 14001 Clause	Requirement of the standard	Compliant Yes/No	Evidence
6.1.2-8	Does the organization maintain documented information of its significant environmental aspects?		
6.1.3-1	Does the organization have access to the compliance obligations related to its environmental aspects?		
6.1.3-2			
6.1.3-3	Does the organization maintain documented information of its compliance obligations?		
6.1.4-1			
6.1.4-2	Did the organization take actions to address its compliance obligations?		
6.1.4-3			
6.1.4-4	Did the organization plan how to integrate and implement the actions into its EMS processes?		
6.1.4-5			
6.2.1-1	Did the organization establish environmental objectives at relevant functions and levels?		
6.2.1-2			
6.2.1-3	Are environmental objectives consistent with the Environmental Policy?		
6.2.1-4	Are environmental objectives measurable?		
6.2.1-5			
6.2.1-6	Does the organization communicate its environmental objectives?		
6.2.1-7			
6.2.1-8			
6.2.2-1	Did the organization determine how to achieve its environmental objectives?		
6.2.2-2			
6.2.2-3			
6.2.2-4	Does the organization determine how it will evaluate		

Commented [9A2]: These are the requirements of the ISO 14001 standard; you should also insert the specific requirements from your own documentation.

Note that this is the complete set of requirements and can either be done at one time, several times, or split throughout the year as per the "Appendix 3 - Annual Internal Audit Program." The important thing is that the entire system be audited at least once annually.

Commented [9A4]: To be filled in during the audit – records, verbal statements, or auditor’s personal observations that confirm the finding.

Commented [9A3]: To be filled in during the audit – fill in Yes or No depending on whether the company is compliant or not.

[organization name]

ISO 14001 Clause	Requirement of the standard	Compliant Yes/No	Evidence
	results of actions taken to achieve environmental objectives?		
6.2.2-5			
7.1	Did the organization provide enough resources to establish and fulfill all EMS requirements?		
7.2-1			
7.2-2	Does the organization employ EMS-competent personnel?		
7.2-3			
7.3	Did the organization ensure that its employees are aware of implications of not conforming to the EMS requirements?		
7.4.1-1			
7.4.1-2			
7.4.1-3	Does the organization ensure the reliability of communicated information?		
7.4.2-1			
7.4.2-2	Does the organization ensure that its internal communication contributes to the EMS?		
7.4.3			
7.5.1-1	Does the organization's EMS include documented information required by ISO 14001:2015?		
7.5.1-2			
7.5.2-1	Does the organization's documented information have proper identification, description, and format?		
7.5.2-2			

Commented [9A2]: These are the requirements of the ISO 14001 standard; you should also insert the specific requirements from your own documentation.

Note that this is the complete set of requirements and can either be done at one time, several times, or split throughout the year as per the "Appendix 3 - Annual Internal Audit Program." The important thing is that the entire system be audited at least once annually.

Commented [9A4]: To be filled in during the audit – records, verbal statements, or auditor's personal observations that confirm the finding.

Commented [9A3]: To be filled in during the audit – fill in Yes or No depending on whether the company is compliant or not.

[organization name]

ISO 14001 Clause	Requirement of the standard	Compliant Yes/No	Evidence
7.1.1	Is the organization's documented information available and suitable for use, when and where it's needed?		
7.1.2	Does the organization ensure that protection of its documented information is adequate?		
7.1.3	Does control of the organization's documented information include distribution, access, retrieval, and use?		
7.1.4	Does the organization control storage and preservation of its documented information, including legibility?		
7.1.5	Does the organization decide retention times of documented information and disposition, including control of change?		
7.1.6	Has the organization identified the documented information of external origin, and retained as appropriate?		
8.1.1	Does the organization establish, implement, control, and maintain the processes needed to meet Environmental Management System requirements?		
8.1.2	Has the organization established operating criteria for its processes?		
8.1.3	Does the organization implement controls for its processes in accordance with the operating criteria?		
8.1.4	Does the organization control planned change and assess the consequences of unintended change?		
8.1.5	Does the organization control or influence external processes?		
8.1.6	Does the organization take into consideration its product or service life cycle?		
8.1.7	Does the organization determine environmental requirements for its processes?		
8.1.8	Does the organization communicate its relevant environmental requirements to external parties?		
8.1.9	Does the organization consider the need to provide information about potential significant environmental impacts associated with the transportation, use, end-of-life treatment, and final disposal of its product or service?		
8.1.10	Does the organization maintain documented information about its operations and controls?		
8.1.11	Has the organization established, implemented, and		

Commented [9A2]: These are the requirements of the ISO 14001 standard; you should also insert the specific requirements from your own documentation.

Note that this is the complete set of requirements and can either be done at one time, several times, or split throughout the year as per the "Appendix 3 - Annual Internal Audit Program." The important thing is that the entire system be audited at least once annually.

Commented [9A4]: To be filled in during the audit – records, verbal statements, or auditor's personal observations that confirm the finding.

Commented [9A3]: To be filled in during the audit – fill in Yes or No depending on whether the company is compliant or not.

[organization name]

ISO 14001 Clause	Requirement of the standard	Compliant Yes/No	Evidence
9.1.1	Has the organization decided to prepare for and respond to potential emergency situations?		
9.1.2	Does the organization plan actions to prevent or mitigate adverse environmental impacts from emergency situations?		
9.1.3	Does the organization periodically test the planned response actions?		
9.1.4	Does the organization provide relevant information and training related to emergency preparedness and response to relevant interested parties?		
9.1.5	Does the organization review and revise the procedures and planned response actions, particularly after the occurrence of emergency situations and tests?		
9.1.6	Does the organization maintain documented information about emergency preparedness procedures?		
9.1.1.1	Does the organization monitor, measure, analyze, and evaluate its environmental performance?		
9.1.1.2	Has the organization determined what needs to be monitored and measured, as well as monitoring and measuring methods to ensure valid results?		
9.1.1.3	Has the organization determined the criteria and indicators for evaluation of its environmental performance?		
9.1.1.4	Has the organization determined when the monitoring and measurement will be performed and when the results will be analyzed and evaluated?		
9.1.1.5	Has the organization ensured that calibrated or certified monitoring and measurement equipment is used and maintained?		
9.1.1.6	Has the organization evaluated its environmental performance and the effectiveness of its EMS?		
9.1.1.7	Has the organization communicated relevant environmental performance information according to the communication process and compliance obligations?		
9.1.1.8	Has the organization retained appropriate documented information as evidence of the monitoring and measurement systems and evaluation results?		
9.1.1.9	Has the organization established, implemented, and maintained the processes needed to evaluate		

Commented [9A2]: These are the requirements of the ISO 14001 standard; you should also insert the specific requirements from your own documentation.

Note that this is the complete set of requirements and can either be done at one time, several times, or split throughout the year as per the "Appendix 3 - Annual Internal Audit Program." The important thing is that the entire system be audited at least once annually.

Commented [9A4]: To be filled in during the audit – records, verbal statements, or auditor's personal observations that confirm the finding.

Commented [9A3]: To be filled in during the audit – fill in Yes or No depending on whether the company is compliant or not.

[organization name]

ISO 14001 Clause	Requirement of the standard	Compliant Yes/No	Evidence
9.1.1	Does the organization determine the frequency of the compliance evaluation?		
9.1.2	Does the organization evaluate the compliance with other criteria needed?		
9.1.3	Does the organization maintain knowledge and understanding of its compliance status?		
9.1.4	Does the organization retain documented information as evidence of the compliance evaluation results?		
9.2	Does the organization conduct internal audits at planned intervals to provide information on whether: <ul style="list-style-type: none"> a) conforms to its own requirements for its ISO 14001 b) conforms to requirements of the ISO 14001:2015 c) is effectively implemented and maintained? 		
9.2.1	Does the organization establish, implement, and maintain internal audit programs?		
9.2.2	Does the organization determine the frequency, methods, responsibilities, planning requirements, and reporting of its internal audits?		
9.2.3	When establishing the internal audit program, does the organization take into account the results of previous audits?		
9.2.4	When establishing the internal audit program, does the organization take into account the importance of the processes concerned?		
9.2.5	Does the organization define the audit criteria and scope of each audit?		
9.2.6	Does the organization ensure objectivity of the audit process?		
9.2.7	Does the organization communicate audit results to the relevant management?		
9.2.8	Does the organization document information about audits and audit results?		
9.3.1	Does top management review the organization's ISO 14001?		
9.3.2	Does top management, during review, consider the status of actions from previous management reviews?		

Commented [9A2]: These are the requirements of the ISO 14001 standard; you should also insert the specific requirements from your own documentation.

Note that this is the complete set of requirements and can either be done at one time, several times, or split throughout the year as per the "Appendix 3 - Annual Internal Audit Program." The important thing is that the entire system be audited at least once annually.

Commented [9A4]: To be filled in during the audit – records, verbal statements, or auditor's personal observations that confirm the finding.

Commented [9A3]: To be filled in during the audit – fill in Yes or No depending on whether the company is compliant or not.

[organization name]

ISO 14001 Clause	Requirement of the standard	Compliant Yes/No	Evidence
9.1.1	Does top management review include consideration of external and internal issues relevant to the organization's EMS?		
9.1.2	Does top management review include consideration of the needs and expectations of interested parties, including compliance obligations?		
9.1.3	Does top management review include consideration of its significant environmental aspects?		
9.1.4	Does top management review include consideration of EMS risks and opportunities?		
9.1.5	Does top management review include consideration of the extent to which environmental objectives have been achieved?		
9.1.6	Does top management review include consideration of trends in nonconformities and corrective action?		
9.1.7	Does top management review include consideration of trends in monitoring and measurement results?		
9.1.8	Does top management review include consideration of resource allocation?		
9.1.9	Does top management review include consideration of opportunities for continual improvement?		
9.1.10	Does top management review include consideration about continual improvement opportunities?		
9.1.11	Does top management review include decisions related to continual improvement?		
9.1.12	Does top management review include needed actions when EMS goals have not been achieved?		
9.1.13	If needed, does top management review include opportunities to improve integration of the EMS with other business processes?		
9.1.14	Does top management review include any implications for the strategic direction of the organization?		
9.1.15	Does the organization retain documented information about management review?		
9.2	Does the organization take actions to improve its EMS?		
9.2.1	Does the organization take actions to control and correct its nonconformities?		
9.2.2	Does the organization take actions to eliminate the causes of its nonconformities?		
9.2.3	Does the organization take actions to prevent recurring and recurring nonconformities?		

Commented [9A2]: These are the requirements of the ISO 14001 standard; you should also insert the specific requirements from your own documentation.

Note that this is the complete set of requirements and can either be done at one time, several times, or split throughout the year as per the "Appendix 3 - Annual Internal Audit Program." The important thing is that the entire system be audited at least once annually.

Commented [9A4]: To be filled in during the audit – records, verbal statements, or auditor's personal observations that confirm the finding.

Commented [9A3]: To be filled in during the audit – fill in Yes or No depending on whether the company is compliant or not.

[organization name]

ISO 14001 Clause	Requirement of the standard	Compliant Yes/No	Evidence
9.1.1	Does the organization have an internal audit program to verify the effectiveness of the corrective action system?		
9.1.2	Does the organization take actions appropriate to the significance of the effects of the nonconformities encountered?		
9.1.3	Does the organization retain documented information as evidence of the nature of the nonconformities and any subsequent actions taken?		
9.1.4	Does the organization retain documented information as evidence of the results of any corrective action?		
9.1.5	Does the organization continually improve the suitability, adequacy, and effectiveness of its EMS?		
9.1.6	Does the organization take necessary actions to address its environmental performance?		

Commented [9A2]: These are the requirements of the ISO 14001 standard; you should also insert the specific requirements from your own documentation.

Note that this is the complete set of requirements and can either be done at one time, several times, or split throughout the year as per the "Appendix 3 - Annual Internal Audit Program." The important thing is that the entire system be audited at least once annually.

Commented [9A4]: To be filled in during the audit – records, verbal statements, or auditor's personal observations that confirm the finding.

Commented [9A3]: To be filled in during the audit – fill in Yes or No depending on whether the company is compliant or not.