ISO 14001 EMS Internal Audit

Program Audit Checklist

Facility Name:	
Auditor:	
Date:	
Audit Period:	

Regulatory References

The following regulations and guidance documents are applicable to this program audit. Click any link to view the full text.

Regulation / Guidance Document
ISO 14001:2015 — Environmental Management Systems (ISO Store)
ISO 19011:2018 — Guidelines for Auditing Management Systems
ISO 14004:2016 — EMS General Guidelines on Implementation
ISO 14001 Annex A — Guidance on the Use of ISO 14001:2015
EPA Environmental Management Systems Resources
IAF MD 5 — Determination of Audit Time for QMS and EMS
ANAB Accreditation Requirements for EMS Certification

Instructions: Review each audit item and record findings in the Status and Notes columns. Use C (Compliant), NC (Non-Compliant), NA (Not Applicable), or NR (Needs Review) for the status. Document specific findings, evidence reviewed, and any corrective actions needed in the Notes column.

Clause 4: Context of the Organization

Audit Item	Expected Finding	Status	Notes / Evidence
Internal and external issues (4.1)	The organization has determined external and internal issues relevant to its purpose that affect its ability to achieve the intended outcomes of the EMS. Environmental conditions being affected by or capable of affecting the organization have been identified. Issues are monitored and reviewed, and documented information is maintained. » *Ref: ISO 14001:2015 Clause 4.1*		
Interested parties and requirements (4.2)	Relevant interested parties (regulators, customers, community, shareholders, employees, NGOs) have been identified along with their relevant needs and expectations. The organization has determined which needs and expectations become compliance obligations. This information is monitored and reviewed periodically. » *Ref: ISO 14001:2015 Clause 4.2*		
EMS scope (4.3)	The EMS scope has been determined considering internal/external issues (4.1), compliance obligations (4.2), organizational		

Audit Item	Expected Finding	Status	Notes / Evidence
	boundaries, and activities/products/services. The scope is documented, maintained as documented information, and available to interested parties. All activities, products, and services within the scope are addressed by the EMS. » *Ref: ISO 14001:2015 Clause 4.3*		
EMS processes and interactions (4.4)	The organization has established, implemented, maintained, and continually improves the EMS including the processes needed and their interactions. Knowledge gained from Clauses 4.1 and 4.2 is considered in establishing the EMS. Process interactions are understood and managed. » *Ref: ISO 14001:2015 Clause 4.4*		

Clause 5: Leadership

Audit Item	Expected Finding	Status	Notes / Evidence
Top management commitment (5.1)	Top management demonstrates leadership and commitment by taking accountability for EMS effectiveness, ensuring environmental policy and objectives are established and compatible with strategic direction, ensuring EMS integration into business processes, ensuring resources are available, communicating the importance of effective EMS, ensuring the EMS achieves intended outcomes, directing and supporting persons to contribute, and promoting continual improvement. » *Ref: ISO 14001:2015 Clause 5.1*		
Environmental policy (5.2)	An environmental policy is established that is appropriate to the organization's purpose and context, provides a framework for setting environmental objectives, includes a commitment to protection of the environment (including pollution prevention), includes a commitment to fulfill compliance obligations, includes a commitment to continual improvement. The policy is documented, communicated within the organization, and available to interested parties. » *Ref: ISO 14001:2015 Clause 5.2*		
Roles, responsibilities, and authorities (5.3)	Top management has assigned responsibility and authority for ensuring the EMS conforms to ISO 14001 requirements and for reporting on EMS performance including opportunities for improvement. Roles are defined, documented, and communicated within the organization. Persons in these roles are competent. » *Ref: ISO 14001:2015 Clause 5.3*		

Clause 6: Planning

Audit Item	Expected Finding	Status	Notes / Evidence
Risks, opportunities, and environmental aspects (6.1.1–6.1.2)	The organization has determined risks and opportunities related to its context (4.1), compliance obligations (4.2), and environmental		

Audit Item	Expected Finding	Status	Notes / Evidence
	aspects (6.1.2) that need to be addressed. Environmental aspects of activities, products, and services are identified considering a life cycle perspective, including those the organization can control and influence. Significant environmental aspects are determined using established criteria. Planned actions address risks, opportunities, and significant aspects. » *Ref: ISO 14001:2015 Clauses 6.1.1–6.1.2*		
Compliance obligations (6.1.3)	The organization has determined and has access to its compliance obligations related to environmental aspects. These include applicable legal requirements (permits, regulations, statutes) and other requirements the organization has adopted (industry standards, agreements, voluntary commitments). The organization has determined how these obligations apply to the organization. » *Ref: ISO 14001:2015 Clause 6.1.3*		
Environmental objectives and planning (6.2)	Environmental objectives are established at relevant functions and levels, consistent with the environmental policy, measurable (if practicable), monitored, communicated, and updated as appropriate. Objectives take into account significant environmental aspects, compliance obligations, and risks and opportunities. Plans for achieving objectives include what will be done, resources required, responsibilities, timeframes, and how results will be evaluated. » *Ref: ISO 14001:2015 Clause 6.2*		

Clause 7: Support

Audit Item	Expected Finding	Status	Notes / Evidence
Resources and competence (7.1–7.2)	The organization has determined and provided the resources needed for the EMS. Persons doing work that affects environmental performance and compliance are competent on the basis of education, training, or experience. Competence needs associated with environmental aspects and the EMS have been determined. Where applicable, actions have been taken to acquire or develop necessary competence, and effectiveness of actions has been evaluated. » *Ref: ISO 14001:2015 Clauses 7.1–7.2*		
Awareness (7.3)	Persons doing work under the organization's control are aware of the environmental policy, significant environmental aspects and related impacts associated with their work, their contribution to EMS effectiveness (including benefits of improved performance), and the implications of not conforming with EMS requirements including failure to fulfill compliance obligations. » *Ref: ISO 14001:2015 Clause 7.3*		
Communication (7.4)	The organization has established processes for internal and external communications relevant to		

Audit Item	Expected Finding	Status	Notes / Evidence
	the EMS including what to communicate, when, with whom, and how. Communications are consistent with EMS information and are reliable. Compliance obligations for communication are considered. The organization responds to relevant communications from interested parties and retains documented information as evidence. » *Ref: ISO 14001:2015 Clause 7.4*		
Documented information (7.5)	The EMS includes documented information required by ISO 14001 and determined necessary by the organization. Documented information is created and updated with appropriate identification, format, and review/approval. Controls ensure documented information is available, suitable for use, adequately protected, and subject to distribution, access, retrieval, storage, retention, and disposition processes. » *Ref: ISO 14001:2015 Clause 7.5*		

Clause 8: Operation

Audit Item	Expected Finding	Status	Notes / Evidence
Operational planning and control (8.1)	The organization has established, implemented, controlled, and maintained processes needed to meet EMS requirements and address risks, opportunities, significant aspects, and compliance obligations. Operational criteria are established. Controls are implemented consistent with a life cycle perspective, including controls for outsourced processes, procurement of products and services, design and development considering environmental requirements, and communication of relevant environmental requirements to external providers. Documented information is maintained to ensure processes have been carried out as planned. » *Ref: ISO 14001:2015 Clause 8.1*		
Emergency preparedness and response (8.2)	The organization has established, implemented, and maintains processes for identifying potential emergency situations that could have an environmental impact, preparing for and responding to them, taking action to prevent or mitigate adverse environmental impacts, periodically testing planned response actions, and periodically reviewing and revising processes after emergency occurrences or tests. Relevant information and training are provided to interested parties and workers. Documented information is maintained. » *Ref: ISO 14001:2015 Clause 8.2*		

Clause 9: Performance Evaluation

Audit Item	Expected Finding	Status	Notes / Evidence
Monitoring, measurement, and analysis (9.1.1)	The organization monitors, measures, analyzes, and evaluates its environmental performance. It has determined what needs to be monitored and		

Audit Item	Expected Finding	Status	Notes / Evidence
	measured, methods for monitoring/measurement/analysis/evaluation to ensure valid results, criteria for evaluation, and when results shall be analyzed. Monitoring and measuring equipment is calibrated or verified. Environmental performance is communicated internally and externally as appropriate. Documented information is retained as evidence of results. » *Ref: ISO 14001:2015 Clause 9.1.1*		
Compliance evaluation (9.1.2)	The organization has established and maintains processes to evaluate fulfillment of its compliance obligations. It determines the frequency of evaluation, evaluates compliance and takes action if needed, and maintains knowledge and understanding of its compliance status. Documented information is retained as evidence of compliance evaluation results. » *Ref: ISO 14001:2015 Clause 9.1.2*		
Internal audit program (9.2)	The organization conducts internal audits at planned intervals to determine whether the EMS conforms to the organization's own requirements and ISO 14001, and is effectively implemented and maintained. An audit program is established considering environmental importance of processes, changes affecting the organization, and results of previous audits. Audit criteria, scope, frequency, and methods are defined. Auditor selection ensures objectivity and impartiality. Results are reported to relevant management. Documented information is retained. » *Ref: ISO 14001:2015 Clause 9.2, ISO 19011:2018*		
Management review (9.3)	Top management reviews the EMS at planned intervals. Reviews consider: status of previous actions, changes in context/interested parties/compliance obligations/significant aspects/risks, extent objectives have been achieved, environmental performance information, adequacy of resources, relevant external communications, and opportunities for continual improvement. Outputs include conclusions on suitability/adequacy/effectiveness, decisions related to improvement opportunities, any need for changes, actions when objectives are not achieved, and opportunities for integration with other business processes. » *Ref: ISO 14001:2015 Clause 9.3*		

Clause 10: Improvement

Audit Item	Expected Finding	Status	Notes / Evidence
Nonconformity and corrective action (10.2)	When a nonconformity occurs, the organization reacts by taking action to control and correct it and deal with consequences. It evaluates the need for corrective action by reviewing the nonconformity, determining causes, and determining if similar nonconformities exist or		

Audit Item	Expected Finding	Status	Notes / Evidence
	could occur. Actions taken are appropriate to the significance of effects. The organization determines if corrective action is effective and makes changes to the EMS if necessary. Documented information is retained as evidence. » *Ref: ISO 14001:2015 Clause 10.2*		
Continual improvement (10.3)	The organization continually improves the suitability, adequacy, and effectiveness of the EMS to enhance environmental performance. Evidence of continual improvement exists through environmental objectives achievement, environmental performance trending, management review outputs, corrective action effectiveness, and process improvements. Improvement is systematic and demonstrable, not merely reactive. » *Ref: ISO 14001:2015 Clause 10.3*		

Corrective Actions Summary

#	Finding	Corrective Action	Responsible	Due Date
1				
2				
3				
4				
5				

Audit Sign-Off

Auditor Name:

Auditor Signature:

Date Completed:

Reviewed By:

Review Date:

Status Key: C = Compliant | NC = Non-Compliant | NA = Not Applicable | NR = Needs Review