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ISO 14001 Audit Requirements Checklist

Requirements vs Auditors Assessment

This checklist is an example of the type of content available when choosing MyActiv templates to build your management system in Activ. Activ is a fully cloud-based system offering a range of modules that support your business operations.

From legal compliance to supplier management, Activ is an ideal tool for any business looking to document and improve their business operations and to comply with ISO standards.

Clauses

4	4.1	**Understanding the organisation and its context** Auditors will seek evidence that the organisation has identified relevant internal and external issues and is reviewing them at periodic intervals (e.g. at management reviews).
	4.2	**Understanding the needs and expectations of relevant interested parties** Auditors will seek evidence that the organisation has been through a process initially to identify these groups, and then to identify their requirements that are relevant to their environmental management system. They will also check that this process is revisited periodically because the relevant requirements of relevant interested parties may change over time.
	4.3	**Determining the scope of the environmental management system** Auditors will seek to verify that the organisation's scope exists as documented information. They will look for evidence that it has been produced in consideration of the organisation's context, products and services.
	4.4	**Environmental management system and its processes** Auditors will look for evidence that a process-based management system exists and that all the processes needed and their interactions are clearly identified. They will also look to verify that any improvement opportunities are being exploited to improve the system and any documentation relating to it is being kept up to date.

Clauses

5	5.1	**Leadership and commitment** Auditors will seek evidence that top management has a "hands on" approach to the management and implementation of their environmental management system.
	5.2	**Environmental Policy** Auditors will seek evidence that top management have participated in the creation of the environmental policy and are reviewing and maintaining it. Auditors will check that the policy is appropriate to the organisation's context, purpose and strategic direction and that it contains the commitments listed above. They will also seek evidence that the organisation's environmental objectives are consistent with the policy and that the policy has been endorsed by top management.
	5.3	**Organisational roles, responsibilities and authorities** Auditors will seek evidence that the organisation's people have not only been advised of their responsibilities and authorities, but that they understand how it affects the environmental management system and what it is intended to achieve.

Clauses

6.1	6.1.1	**Actions to address risks and opportunities** Auditors will seek evidence that confirms that an organisation has a methodology in place that enables them to effectively identify risks and opportunities, and implements plans to mitigate/exploit them.
	6.1.2	**Environmental aspects** Auditors will assess if the organisation has implemented a systematic and wide ranging approach to identifying, assessing and communicating its environmental aspects.
	6.1.3	**Determination of legal requirements and other requirements** Auditors will test whether all relevant requirements have been identified and that documented information on them is available. They will also assess how effective the processes are at keeping the organisation up to date with changes to requirements.
	6.1.3	**Planning action** Auditors will check the documentation available relating to the plans in place and assess whether they take into account the requirements of the clause.

6.2	6.2.1	**Environmental objectives** Auditors will verify that objectives have been established that satisfy these requirements. These will assess whether the objectives are proportionate to the scale, complexity and nature of the organisation and the current level of environmental performance that it has achieved.
	6.2.2	**Planning to achieve environmental objectives** Auditors will look for evidence that effective planning is taking place to support the achievement of the organisation's environmental objectives and that those plans are available as documented information.

Clauses

7.1	7.1.1	**Resources** Auditors will assess how the organisation has assessed its resource needs and whether it has, or is, taking appropriate actions to provide those.
7.1	7.2.1	**Competence** Auditors will review competence information available for the specified roles within the organisation, together with the criteria identified and maintained. Auditors will check that organisations have taken or are taking appropriate steps to close any competency gaps identified.
7.3	7.3.1	**Awareness** Auditors will test the organisation's workers' level of awareness of the environmental management system, hazards and risks relevant to them, environmental performance and incident investigations undertaken and their findings.
7.4	7.4.1	**Communication - General** Auditors will assess communication processes established against the requirements above and verify that appropriate records are retained.
7.4	7.4.2	**Internal communication** Auditors will assess communication processes established against the requirements above and verify that appropriate records are retained.
7.5	7.5.1	**Documented information - General** Auditors will assess whether the extent of the documented information created, maintained and retained is appropriate to the size of the organisation, the type of activities and processes it undertakes, the products and services it offers, the environmental legal and other requirements applicable to it, and the complexity of its processes.
7.5	7.5.2	**Creating and updating documented information** Auditors review the procedures, processes and tools employed to comply with these requirements and sample different types of documented information to test their effectiveness.
7.5	7.5.3	**Control of documented information** Auditors review the procedures, processes and tools employed to comply with these requirements, and sample different types of documented information to test their effectiveness.

Clauses

8	8.1	**Operational planning and control** Auditors will assess whether the organisation has designed and implemented appropriate controls for its environmental processes and review what evidence is available to confirm that those controls are effective. They may also test the effectiveness of a sample of controls.
	8.2	**Emergency preparedness and response** Auditors will review the documented information available and assess the extent to which the processes have been implemented and comply with the requirements above.

Clauses

9.1	9.1.2	**Monitoring, measurement, analysis and performance evaluation** Auditors will review the documented information available and assess the extent to which the processes have been implemented and comply with the requirements above.
	9.1.2	**Evaluation of compliance** Auditors will review the documented information available and assess the extent to which the processes have been implemented and comply with the requirements above. They will also check the robustness of the compliance evaluations undertaken.

9.2	9.2.1	**Internal audit – General** Auditors will review the timing of audits to assess whether they are done in accordance with a plan. They will also check the audit criteria, scope and methodology applied to test whether the audits are assessing the requirements above.
	9.2.2	**Internal audit programme** Auditors will review the documented information relating to audit programmes and audits undertaken. The basis of the audit programme will be tested against criteria above. Individual audits will be sampled and tested against the criteria above.

9.3	9.3.1	**Management review** Auditors will check the documented information available relating to the management reviews and potentially discuss the process with those involved. From this information they will assess the process employed against the criteria above.

Clauses

10	10.1	**Improvement - General** Auditors will make an overall assessment of the degree to which the management system is being improved in addition to exploring areas of potential improvement with a sample of processes and activities.
	10.2	**Nonconformity and corrective action** Auditors will check the documented information available relating to incidents and nonconformities and potentially discuss the process with those involved. From this information they will assess the process employed against the criteria above.
	10.3	**Continual improvement** Auditors will check the documented information available relating to incidents and nonconformities and potentially discuss the process with those involved. From this information they will assess the process employed against the criteria above.