



**ISO 14001**

**AUDIT REPORT**



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This audit report checklist template encompasses of the requirements of ISO 14001 Environmental Management System section 4.0 to section 10.0.

To assist with the auditing process each of the required ISO 14001 criteria is phrased as a question. It is highly recommended that the auditor have a copy of the ISO 14001 Environmental Management Systems Standard on hand to assist with the auditing process.

To ensure a sufficient response to the audit criteria, it is recommended that the audit criteria be translated into a "Question Response" section and then be formulated into a detailed audit criteria response, based on the evidence available.

The audit's intention is to provide assurance to senior management that risks to the organization's environment are being (or will be) adequately managed and controlled. The audit shall ensure that the required components of the ISO 14001 system or processes to be communicated to the relevant personnel.

The audit rating system is graded from full compliance to convey a clear and consistent method for scoring each audit criteria. There is no process for the identification of 'opportunities for improvement' which shall contribute well to the continual improvement process of ISO 14001 Environmental Management System to section 10.0.

At the end of the audit you can add a summary table of findings and action plans.

The completed audit report shall detail a summary of audit results, findings, issues observed, subsequently allowing the monitoring and review of any corrective actions that are required.

## Audit Criteria

This document is intended to be used as a checklist for the audit. **delete any element(s) out of your specific audit scope.**

- ISO 14001:2015 Clause 1. General Requirements
- ISO 14001:2015 Clause 2. Normative references
- ISO 14001:2015 Clause 3. Terms and definitions
- ISO 14001:2015 Clause 4. Context of the organization
- ISO 14001:2015 Clause 5. Leadership
- ISO 14001:2015 Clause 6. Planning
- ISO 14001:2015 Clause 7. Support
- ISO 14001:2015 Clause 8. Operation
- ISO 14001:2015 Clause 9. Performance Evaluation
- ISO 14001:2015 Clause 10. Improvement

Finding	Definition/Impact	Action/Mitigation
<b>Conformance:</b>	Indicates that the criterion has been met.	Nil action required. Continue to monitor trends and indicators.
<b>Non-Conformance:</b>	Indicates that the criterion has not been met.	Investigate root cause(s) and implement corrective actions by next reporting period or next scheduled audit.
<b>Not able to be verified:</b>	Indicates that procedures are in place but, there have been no cases to test those procedures. It is expected that this classification will only be used in limited circumstances and where applied, the reason for the finding will be explained by the auditor.	
<b>Not applicable:</b>	Indicates that the criterion does not apply.	
<b>Opportunity for improvement:</b>	Conformance has been met however, there is a risk issue that offers an opportunity to improve the current practice. Unresolved issues may degrade performance to become non-compliant.	Review and improve the process(s). Monitor performance to determine if issue is resolved.
<b>Other:</b>	Can relate to a combination or finding.	

SAMPLE

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**List of Personnel Reviewed**

Name	Position



## Summary of Findings

Outcome	Number of Criteria
Conformances	
Non-conformances	
Not able to be verified	
Not applicable	
Opportunity for improvement	
Other	

### Non-conformances

Several non-conformances were noted during the audit. They

Criterion	Non-conform

**SAMPLE**

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## Not Able to be Verified

Several criteria were unable to be verified during the audit. They are:

Criterion	Not Able to be Verified

## Not Applicable

Several criteria were not applicable during the audit.

Criterion	Not applicable



## Opportunities for Improvement

A few observations were identified during the audit. They are:

Criterion	Observation

## Corrective Actions Required

Several corrective actions have been raised as a result of the audit. They are:

Criterion	Corrective Actions

## Other

There are other observations identified during the audit. They are:

Criterion



Criterion	Observation
<b>4.0. Context of the Organization</b>	
<b>4.1. Understanding the organization and its context</b>	
4.1.	Has the organization determined external and internal issues relevant to its purpose that could affect its ability to achieve the intended result(s) of its EMS?
4.1.	Does the organization monitor and review external and internal environmental conditions which could affect the organization and which the organization could affect?
Findings:	<input type="checkbox"/> Conformance <input type="checkbox"/> Non-conformance <input type="checkbox"/> Opportunity for improvement
Document Evidence:	
Audit Question Response:	
Opportunity for Improvement:	
Corrective Action Required:	
<b>4.2. Understanding the needs and expectations of interested parties</b>	
4.2.	Does the organization determine and understand the needs and expectations of interested parties that are relevant to the EMS? (this may include regulatory requirements, local, national, and international conditions that can affect, or be affected by the organization). How are these needs and expectations to be managed as compliance obligations to mitigate adverse risk or exploit beneficial opportunities? How are these needs and expectations to be integrated in the operational planning of the EMS?
Finding:	<input type="checkbox"/> Conformance <input type="checkbox"/> Non-conformance <input type="checkbox"/> Not applicable <input type="checkbox"/> Not able to be verified

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Criterion	Observation
	<input type="checkbox"/> Opportunity for improvement <input type="checkbox"/> Other
Document Evidence:	
Audit Question Response:	
Opportunity for improvement:	
Corrective Action Required:	

**4.3. Determining the scope of the environmental management system**

<b>4.3.</b>	Does the organization determine the boundaries and applicability of the EMS to establish its scope?
<b>4.3..</b>	<p>When determining this scope, has the organization considered:</p> <ul style="list-style-type: none"> <li>a) the external and internal issues referred to in 4.1.2?</li> <li>b) the requirements and compliance obligations of interested parties referred to in 4.1.3?</li> <li>c) its organizational units, functions and physical locations?</li> <li>d) its activities, products and services?</li> <li>e) its ability and authority to control or influence the environmental factors related to its internal issues?</li> </ul>
<b>4.3.</b>	After determining the scope, are all activities, products and services included in the EMS?
<b>4.3.</b>	Does the organization determine what is in its scope in relation to interested parties and is maintained as documented information?

<b>Finding:</b>	<input type="checkbox"/> Conformance <input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance <input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement <input type="checkbox"/> Other

Document Evidence:	
Audit Question Response:	
Opportunity for improvement:	
Corrective Action Required:	



Criterion	Observation
<b>4.4. Environmental management system</b>	
4.4.	Has the organization established, implemented, maintained and continually improved its EMS, including the processes needed and their interactions, in accordance with the requirements of the ISO 14001 Standard?
4.4.	Has the organization has considered the knowledge and information obtained by 4.1 and 4.2 when implementing and operating its EMS?
Finding:	<input type="checkbox"/> Conformance <input type="checkbox"/> Non-conformance <input type="checkbox"/> Opportunity for improvement
Document Evidence:	
Audit Question Response:	
Opportunity for improvement:	
Corrective Action Required:	

SAMPLE

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<b>5.0. Leadership</b>	
<b>5.1. Leadership and commitment</b>	
5.1.	<p>Has the organization demonstrated leadership and commitment to the EMS by:</p> <ul style="list-style-type: none"> <li>a) defining the organization's EMS?</li> <li>b) ensuring that the organization's environmental policies and objectives are established and documented, and are compatible with the strategic direction and context of the organization?</li> <li>c) ensuring that the organization's processes are integrated into the organization's processes?</li> <li>d) ensuring that the organization has the required resources?</li> <li>e) communicating the importance of an effective environmental management and for conforming to such requirements?</li> <li>f) ensuring that the organization's EMS achieves its intended outcomes?</li> <li>g) directing and supporting personnel who contribute to the effectiveness of the EMS?</li> </ul>

Criterion	Observation	
	h) promoting continual improvement? i) supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility?	
Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other
Document Evidence:		
Audit Question Response:		
Opportunity for improvement:		
Corrective Action Required:		

**5.2. Environmental policy**

5.2.	<p>Has top management established, implemented and maintained documented environmental policy that:</p> <ul style="list-style-type: none"> <li>a) is appropriate to the context, including the organization's environmental policy that:               <ul style="list-style-type: none"> <li>— provides a framework to establish and implement our environmental policy?</li> <li>— includes a commitment to protect the environment and any other specific commitments or obligations that are relevant to the organization's context?</li> <li>— includes a commitment to fulfil any legal requirements deemed appropriate?</li> <li>— is used to communicate the EMS and enhance environmental performance?</li> </ul> </li> </ul>	
5.2.	<p>How is the environmental policy is:</p> <ul style="list-style-type: none"> <li>— communicated?</li> <li>— understood by the organization?</li> <li>— available to all employees?</li> </ul>	
Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified



Criterion	Observation
	<input type="checkbox"/> Opportunity for improvement <input type="checkbox"/> Other
Document Evidence:	
Audit Question Response:	
Opportunity for improvement:	
Corrective Action Required:	

**5.3. Organizational roles, responsibilities and authorities**

5.3.	Has top management ensured that the responsibilities and authorities for all levels are assigned and communicated?
5.3.	Has top management assigned responsibility and authority to relevant personnel for ensuring that: <ul style="list-style-type: none"> <li>a) the EMS conforms to the requirements of the 14001 Standard</li> <li>b) the reporting on the performance of the EMS occurs, including top management?</li> </ul>

Finding:	<input type="checkbox"/> Non-conformance <input type="checkbox"/> Information to be verified
	<input type="checkbox"/> Opportunity for improvement <input type="checkbox"/> Other

Document Evidence:	
Audit Question Response:	
Opportunity for improvement:	
Corrective Action Required:	

**6.0. Planning**

**6.1 Actions to address risks and opportunities**

**6.1.1 General**

SAMPLE

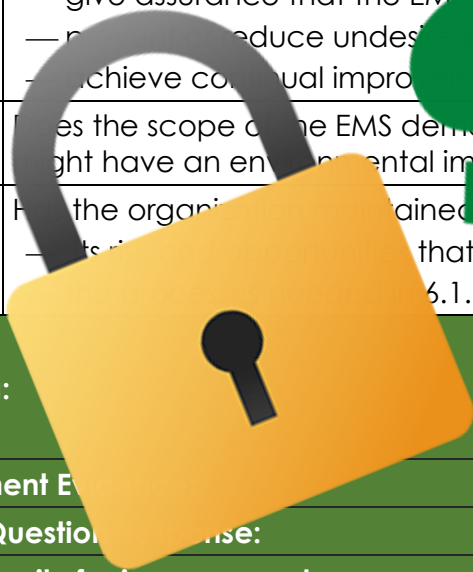
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Criterion	Observation
6.1.1.	Has the organization established, implemented and maintained the processes needed to meet the requirements for 6.1.1 to 6.1.4 of the ISO 14001 Standard?
6.1.1.	When planning for the EMS, has the organization considered: <ul style="list-style-type: none"> <li>— the issues identified in section 4.1?</li> <li>— the requirements identified in section 4.2?</li> <li>— the scope of the EMS 4.3 and 4.4?</li> </ul>
6.1.1.	When planning for the EMS, has the organization determined the risks and opportunities arising from: <ul style="list-style-type: none"> <li>— the environmental aspects (see 6.1.2)?</li> <li>— the compliance obligations (See 6.1.)?</li> <li>— other issues and requirements identified in 4.1 and 4.2?</li> </ul>
6.1.1.	Other issues and requirements identified in 4.1 that need to be addressed to: <ul style="list-style-type: none"> <li>— give assurance that the EMS will achieve intended outputs?</li> <li>— prevent or reduce undesired effects, including those from legal or external requirements to affect our organization?</li> <li>— achieve continual improvement?</li> </ul>
6.1.1.	Does the scope of the EMS demonstrate how the organization addresses potential emergency situations, including those which might have an environmental impact?
6.1.1.	Has the organization maintained documented information that must be controlled to ensure that they can be carried out as planned? <ul style="list-style-type: none"> <li>— 6.1.1</li> </ul>
<b>Finding:</b>	<input type="checkbox"/> Conformance <input type="checkbox"/> Not applicable <input type="checkbox"/> Non-conformance <input type="checkbox"/> Not able to be verified <input type="checkbox"/> Opportunity for improvement <input type="checkbox"/> Other
<b>Document E</b>	
<b>Audit Question</b>	
<b>Opportunity for improvement:</b>	

SAMPLE

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Criterion	Observation
<b>Corrective Action Required:</b>	

**6.1.2. Environmental aspects**

6.1.2.	When planning for the scope of the EMS, has the organization determined the environmental aspects of the activities, products and services that it controls and can influence, and their associated environmental impacts, including the product lifecycle?
6.1.2.	When determining applicable environmental aspects, has the organization taken into account: a) potential changes, including planned or new developments, and changes in activities, products and services b) abnormal conditions and reasonably foreseeable emergency situations
6.1.2.	Has the organization determined those aspects that may/present a significant environmental impact by using selection criteria?
6.1.2.	Has the organization communicated those aspects that may/present a significant environmental impact throughout the various levels and functions of our organization?
6.1.2.	Does the organization maintain documented information regarding: - its environmental aspects and impacts? - the criteria used to determine its significant environmental aspects? - its significant environmental aspects?

<b>Finding:</b>	<input type="checkbox"/> Confirmed	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Not confirmed	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other
<b>Document Reference:</b>		
<b>Audit Question:</b>		
<b>Opportunity for Improvement:</b>		
<b>Corrective Action Required:</b>		

**SAMPLE**  
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Criterion	Observation
<b>6.1.3. Compliance obligations</b>	
<b>6.1.3.</b>	Has the organization: <ul style="list-style-type: none"> <li>a) determined, and have access to relevant compliance obligations related to its environmental aspects?</li> <li>b) determined how these compliance obligations apply to the organization?</li> <li>c) take its compliance obligations into account when establishing, implementing, maintaining and improving its EMS?</li> </ul>
<b>6.1.3.</b>	Does the organization maintain documented information of compliance obligations? <ul style="list-style-type: none"> <li><input type="checkbox"/> Conformance</li> <li><input type="checkbox"/> Non-conformance</li> <li><input type="checkbox"/> Opportunity for improvement</li> <li><input type="checkbox"/> Other</li> </ul>
<b>Finding:</b>	
<b>Document Evidence:</b>	
<b>Audit Question:</b>	
<b>Opportunity for improvement:</b>	
<b>Corrective Action Required:</b>	
<b>6.1.4. Planning actions</b>	
<b>6.1.4.</b>	Does the organization plan to: <ul style="list-style-type: none"> <li>1. implement the actions into its EMS process (See 6.2, 7, 8 and 9.1) or other processes?</li> <li>2. evaluate the effectiveness of these actions (see 9.1)?</li> </ul>
<b>6.1.4.</b>	When planning these actions, does organization consider technological options and its financial, operational and other business requirements?

SAMPLE

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Criterion	Observation
<b>Finding:</b>	<input type="checkbox"/> Conformance <input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance <input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement <input type="checkbox"/> Other
<b>Document Evidence:</b>	
<b>Audit Question Response:</b>	
<b>Opportunity for improvement:</b>	
<b>Corrective Action Required:</b>	

**6.2 Environmental objectives and planning to achieve them**

**6.2.1. Environmental objectives**

**6.2.1.** Has the organization established environmental objectives relevant to its functions, processes and activities, taking account its significant environmental impacts, associated compliance obligations and risk and opportunities for improvement?

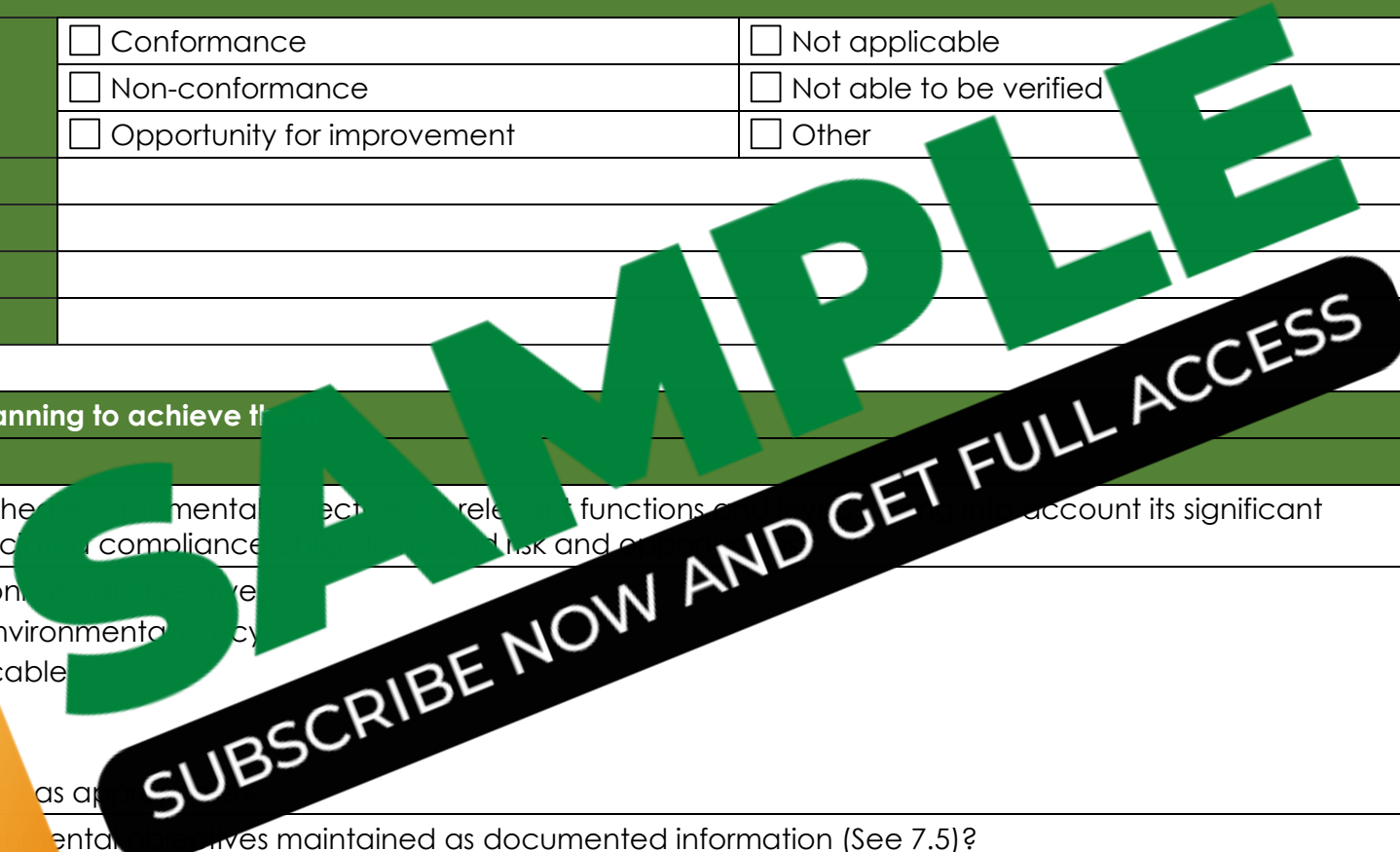
**6.2.1.** Are the organization's environmental objectives:  
 (a) consistent with the environmental policy;  
 (b) measurable and verifiable;  
 (c) monitored and controlled?  
 (d) as appropriate, communicated to relevant personnel?

**6.2.1.** Are environmental objectives maintained as documented information (See 7.5)?

<b>Finding:</b>	<input type="checkbox"/> Conformance <input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance <input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement <input type="checkbox"/> Other

**Document Evidence:**

**Audit Question Response:**





Criterion	Observation
Opportunity for improvement:	
Corrective Action Required:	

**6.2.2. Planning actions to achieve environmental objectives**

6.2.2.	When planning how to achieve its environmental objectives, has the organization determined: <ul style="list-style-type: none"> <li>a) what will be done</li> <li>b) what resources will be required?</li> <li>c) who is responsible?</li> <li>d) when it will be completed?</li> <li>e) how the results are evaluated, including indicators for measuring the success and achievement of</li> </ul>
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6.2.2.	Has the organization considered how actions to achieve its environmental objectives can be integrated into business processes?
--------	--

Finding:	<input type="checkbox"/> Formal <input type="checkbox"/> Non-conformance <input type="checkbox"/> Non-conformance verified
----------	--

Document Evidence:	<input type="checkbox"/> Non-conformance <input type="checkbox"/> Non-conformance verified
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Audit Question Response:	<input type="checkbox"/> Non-conformance <input type="checkbox"/> Non-conformance verified
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Opportunity for improvement:	<input type="checkbox"/> Non-conformance <input type="checkbox"/> Non-conformance verified
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Corrective Action:	<input type="checkbox"/> Non-conformance <input type="checkbox"/> Non-conformance verified
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**7.0. Support**

**7.1. Resources**

7.1.	Does the organization determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the EMS?
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**SAMPLE**  
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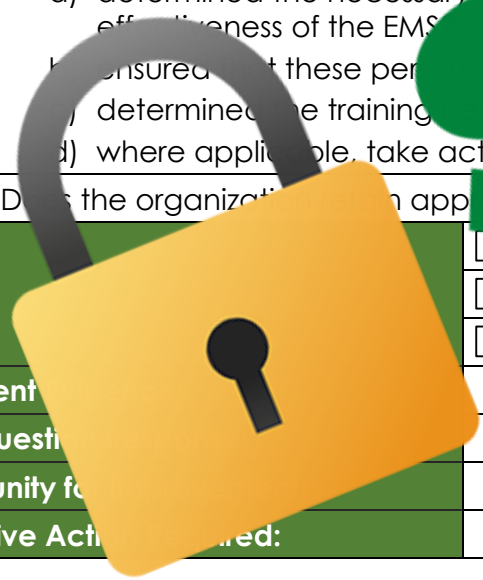
Criterion	Observation
Finding:	<input type="checkbox"/> Conformance <input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance <input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement <input type="checkbox"/> Other
Document Evidence:	
Audit Question Response:	
Opportunity for improvement:	
Corrective Action Required:	

**7.2. Competence**

7.2.	Has the organization: a) determined the necessary competence for persons doing work under its control, and performance and effectiveness of the EMS? b) ensured that these persons are competent on the basis of appropriate training, education, or experience? c) determined the training requirements with mitigation if necessary for persons and its EMS? d) where applicable, take actions to acquire the necessary competence and evaluate the effectiveness of the actions taken?
7.2.	Does the organization have applicable documented evidence of competence?

Finding:	<input type="checkbox"/> Conformance <input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance <input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement <input type="checkbox"/> Other
Document Evidence:	
Audit Question Response:	
Opportunity for improvement:	
Corrective Action Required:	

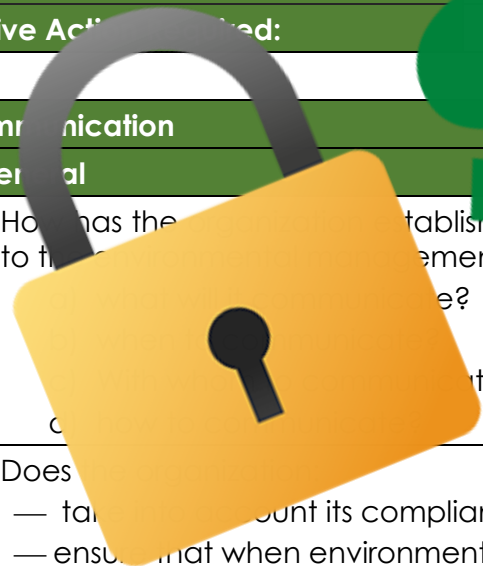
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Criterion	Observation
<b>7.3. Awareness</b>	
<b>7.3.</b>	<p>How does the organization ensure that workers are aware of:</p> <ul style="list-style-type: none"> <li>a) the environmental policies?</li> <li>b) the relevant environmental aspects and impacts associated with their work?</li> <li>c) of their contribution to the effectiveness of the EMS, including the benefits of improved performance?</li> <li>d) the implications of not conforming to EMS requirements and not fulfilling the organization's compliance obligations?</li> </ul>
<b>Finding:</b>	<input type="checkbox"/> Conformance <input type="checkbox"/> Non-conformance <input type="checkbox"/> Opportunity for improvement
<b>Document Evidence:</b>	
<b>Audit Question Response:</b>	
<b>Opportunity for improvement:</b>	
<b>Corrective Action:</b>	
<b>7.4. Communication</b>	
<b>7.4.1. General</b>	
<b>7.4.1.</b>	<p>How has the organization established, implemented and maintained the processes for internal and external communications relevant to the EMS?</p>
<b>7.4.1.</b>	<p>Does the organization:</p> <ul style="list-style-type: none"> <li>— take into account its compliance obligations when establishing its communication process?</li> <li>— ensure that when environmental information that is communicated, it is consistent with the information generated by the EMS?</li> </ul>

SAMPLE

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Criterion	Observation
7.4.1.	Does the organization respond to relevant communications regarding its EMS?
7.4.1.	Does the organization's EMS include documented information as evidence of communication?
Finding:	<input type="checkbox"/> Conformance <span style="float: right;"><input type="checkbox"/> Not applicable</span>
	<input type="checkbox"/> Non-conformance <span style="float: right;"><input type="checkbox"/> Not able to be verified</span>
	<input type="checkbox"/> Opportunity for improvement
Document Evidence:	
Audit Question Response:	
Opportunity for improvement:	
Corrective Action Required:	

SAMPLE

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7.4.2. Internal communication	
7.4.2.	How does the organization ensure that: (a) it internally communicates relevant information to the EMS at all levels and functions in the organization, including changes to the EMS as a result of opportunities? (b) communication processes involving persons delivering the organization's control contribute to continual improvement?
Finding:	<input type="checkbox"/> Conformance <span style="float: right;"><input type="checkbox"/> Not applicable</span>
	<input type="checkbox"/> Non-conformance <span style="float: right;"><input type="checkbox"/> Not able to be verified</span>
	<input type="checkbox"/> Opportunity for improvement <span style="float: right;"><input type="checkbox"/> Other</span>
Document Evidence:	
Audit Question Response:	
Opportunity for improvement:	
Corrective Action Required:	



Criterion	Observation
<b>7.4.3. External communication</b>	
<b>7.4.3.</b>	Does the organization externally communicate information relevant to the EMS, via the communications process and as required by the compliance obligations?
<b>Finding:</b>	<input type="checkbox"/> Conformance <input type="checkbox"/> Not applicable <input type="checkbox"/> Non-conformance <input type="checkbox"/> Not able to be verified <input type="checkbox"/> Opportunity for improvement <input type="checkbox"/> Other
<b>Document Evidence:</b>	
<b>Audit Question Response:</b>	
<b>Opportunity for improvement:</b>	
<b>Corrective Action Required:</b>	

<b>7.5.2 Creating and updating</b>	
<b>7.5.2.</b>	<p>When creating and updating documented information, does the organization do the following, as appropriate:</p> <ul style="list-style-type: none"> <li>a) identification and designation of the document, including date, author, or version number</li> <li>a) format (e.g., language, software, electronic, graphical, or other media, paper, electronic)?</li> <li>b) review and approval for adequacy and adequacy for use and access (e.g., controlled)?</li> </ul>
<b>Finding:</b>	<input type="checkbox"/> Conformance <input type="checkbox"/> Not applicable <input type="checkbox"/> Non-conformance <input type="checkbox"/> Not able to be verified <input type="checkbox"/> Opportunity for improvement <input type="checkbox"/> Other
<b>Document Evidence:</b>	
<b>Audit Question Response:</b>	
<b>Opportunity for improvement:</b>	
<b>Corrective Action Required:</b>	

SAMPLE

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Criterion	Observation
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**7.5.3. Control of documented information**

7.5.3.	How does the organization ensure documented information required by the environmental management system and ISO 14001 is controlled to ensure: a) it is available and suitable for use, where and when it is needed? b) is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity)
7.5.3.	For the control of documented information, does the organization address: — the distribution, access, retrieval and use? — storage and preservation, including preservation of legibility? — control of changes (e.g. version etc)? — retention and disposition?
7.5.3.	Is documented information of external origin determined by the organization as necessary for the operation of the EMS identified as appropriate, and be controlled

Finding:	<input type="checkbox"/> Information	<input type="checkbox"/>
	<input type="checkbox"/> Non-conformity	<input type="checkbox"/> To be verified
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/>
Document Evidence:		
Audit Question Response:		
Opportunity for improvement:		
Corrective Action:		

**8.0. Open**

**8.1 Operation**

**SAMPLE**  
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Criterion	Observation
8.1.	Has the organization established, implemented, controlled and maintained the processes needed to meet EMS requirements, and to implement the actions identified in section 6.1 to 6.2? by: — establishing operating criteria for each process? — implementing control of the processes in accordance with the operating criteria?
8.1.	Does the organization control planned changes and review the consequences of unintended changes, and take action to mitigate any adverse effects?
8.1.	Does the organization ensure that outsourced process are controlled and influence...
8.1.	Has the organization: a) established controls to ensure that its environmental requirements are addressed in design and development for the product or service as appropriate considering the product lifecycle? b) determined environmental requirements for the product or service as appropriate? c) communicated the relevant environmental requirements to external providers and customers? d) considered the need to provide information on potential significant environmental impacts related to the transportation, delivery, use, end of life, disposal and recycling of its products and services?
8.1.	Does the organization maintain records in accordance with the extent of the processes and the confidence that its processes are carried out as planned?
Finding:	<input type="checkbox"/> Conformance <input type="checkbox"/> Non-conformance <input type="checkbox"/> Opportunity for improvement <input type="checkbox"/> Not applicable <input type="checkbox"/> Not able to be verified <input type="checkbox"/> Other
Document	
Audit Question	
Opportunity	
Corrective Action	

SAMPLE

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**8.2. Emergency preparedness and response**

Criterion	Observation
8.2.	Has the organization established, implemented and maintained the processes required to prepare for and to respond to potential emergency situations identified in section 6.1.1?
8.2.	<p>Does the organization:</p> <ul style="list-style-type: none"> <li>a) prepare and respond by planning actions to prevent or mitigate adverse environmental impacts arising from emergency situations?</li> <li>b) respond to emergency situations?</li> <li>c) take action to prevent or mitigate the consequences of emergency situations as appropriate to the magnitude of the emergency and the potential environmental impact?</li> <li>d) periodically test the planned responses where practicable?</li> <li>e) periodically review the planned responses, in particular after an emergency situation has occurred?</li> <li>f) provide relevant information and training related to emergency response and preparedness to interested parties and staff?</li> </ul>
8.2.	Does the organization maintain documented information to the extent necessary to ensure that its processes are carried out as planned?
Finding	<input type="checkbox"/> Conforms <input type="checkbox"/> Non-conformance <input type="checkbox"/> Opportunity for improvement
Document	<input type="checkbox"/> Not applicable <input type="checkbox"/> Not able to be verified <input type="checkbox"/> Other
Evidence	
Audit Question	
Opportunity	
Corrective Action	

SAMPLE

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Criterion	Observation
<b>9.0. Performance evaluation</b>	
<b>9.1. Monitoring, measurement, analysis and performance evaluation</b>	
<b>9.1.1. General</b>	
<b>9.1.1.</b>	Does the organization monitor, measure analyze and evaluate its environmental performance?
<b>9.1.1.</b>	How does the organization determine: <ul style="list-style-type: none"> <li>a) what needs to be monitored and measured:</li> <li>b) the methods for monitoring, measurement, analysis and evaluation needed to ensure valid results?</li> <li>c) the criteria against which the organization evaluates its environmental performance and appropriate indicators?</li> <li>d) when the monitoring and measuring shall be performed?</li> <li>e) when the results from monitoring and measurement shall be analyzed and evaluate</li> </ul>
<b>9.1.1.</b>	Does the organization ensure that calibrated or verified monitoring and measurement equipment is used and maintained as required?
<b>9.1.1.</b>	Does the organization evaluate its environmental performance and the effectiveness of the EMS?
<b>9.1.1.</b>	Does the organization internally and externally communicate its environmental performance and compliance with requirements required by its communication process and its compliance obligations?
<b>9.1.1.</b>	Does the organization maintain documented information as evidence of monitoring, measurement, analysis and evaluation of results?
<b>Finding:</b>	<input type="checkbox"/> Conformant <input type="checkbox"/> Non-conformance <input type="checkbox"/> Opportunity for improvement <input type="checkbox"/> Other
<b>Document Evidence:</b>	
<b>Audit Question Response:</b>	
<b>Opportunity:</b>	
<b>Corrective Action:</b>	

SAMPLE

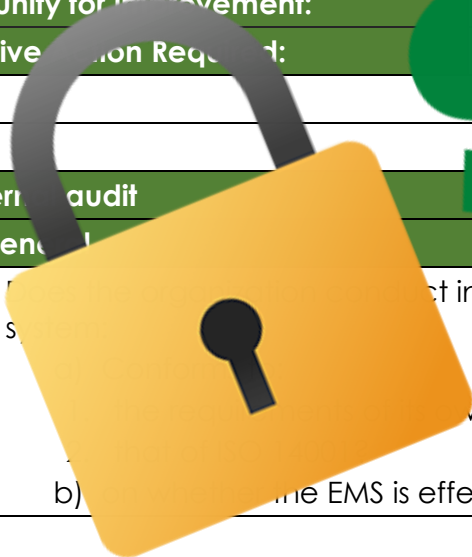
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Criterion	Observation
<b>9.1.2. Evaluation of compliance</b>	
<b>9.1.2.</b>	Has the organization established implemented and maintained processes to evaluate the fulfilment of its compliance obligations?
<b>9.1.2.</b>	Has the organization: <ul style="list-style-type: none"> <li>a) determined the frequency that compliance is evaluated?</li> <li>b) evaluated compliance and take action where required?</li> <li>c) maintained knowledge and understanding of its compliance status?</li> </ul>
<b>9.1.2.</b>	Does the organization maintain documented information as evidence of compliance with its obligations?
<b>Finding:</b>	<input type="checkbox"/> Conformance <input type="checkbox"/> Non-conformance <input type="checkbox"/> Opportunity for improvement
<b>Document Evidence:</b>	
<b>Audit Question Response:</b>	
<b>Opportunity for improvement:</b>	
<b>Corrective Action Request:</b>	
<b>9.2. Internal audit</b>	
<b>9.2.1. General</b>	
<b>9.2.1.</b>	Does the organization at planned intervals to provide information on whether the environmental management system conforms with its own EMS?
	b) Is the EMS effectively implemented and maintained?

SAMPLE

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Criterion	Observation
<b>Finding:</b>	<input type="checkbox"/> Conformance <span style="float: right;"><input type="checkbox"/> Not applicable</span>
	<input type="checkbox"/> Non-conformance <span style="float: right;"><input type="checkbox"/> Not able to be verified</span>
	<input type="checkbox"/> Opportunity for improvement <span style="float: right;"><input type="checkbox"/> Other</span>
<b>Document Evidence:</b>	
<b>Audit Question Response:</b>	
<b>Opportunity for improvement:</b>	
<b>Corrective Action Required:</b>	

**9.2.2. Internal audit programme**

<b>9.2.2.</b>	Does the organization plan, establish, implement and maintain an audit programme(s) in accordance with the requirements of the standard, including the audit policy, methods, responsibilities, planning requirements and reports which must include consideration of the interrelationships between the processes concerned, changes affecting the organization and the results of previous audits?
<b>9.2.2.</b>	Does the organization consider the importance of the issues concerned in the audit programme in relation to the organization, and the results of previous audits?
<b>9.2.2.</b>	Does the organization: <ul style="list-style-type: none"> <li>a) define the audit criteria and scope for each audit?</li> <li>b) select auditors and conduct audits to ensure the impartiality of the audit process?</li> <li>c) ensure the independence of the auditors from the management?</li> </ul>
<b>9.2.2.</b>	Does the organization document as evidence of the implementation of the audit programme and the audit results?

<b>Finding:</b>	<input type="checkbox"/> Conformance <span style="float: right;"><input type="checkbox"/> Not applicable</span>
	<input type="checkbox"/> Non-conformance <span style="float: right;"><input type="checkbox"/> Not able to be verified</span>
	<input type="checkbox"/> Opportunity for improvement <span style="float: right;"><input type="checkbox"/> Other</span>
<b>Document Evidence:</b>	
<b>Audit Question Response:</b>	

SAMPLE

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Criterion	Observation
Opportunity for improvement:	
Corrective Action Required:	

**9.3. Management review**

9.3.	How does top management review the EMS at planned intervals and how does the review confirm the continuing suitability, adequacy and effectiveness of the EMS?
9.3.	<p>Does the organizations management review consider:</p> <ul style="list-style-type: none"> <li>a) the status of actions from previous management reviews?</li> <li>b) changes in: <ul style="list-style-type: none"> <li>1. external and internal issues that are relevant to the environmental management system?</li> <li>2. needs and expectations of interested parties including compliance obligations?</li> <li>3. Its significant environmental aspects?</li> <li>4. risks and opportunities?</li> </ul> </li> <li>c) the extent to which environmental objectives have been achieved?</li> <li>d) Information on the EMS performance including trends on: <ul style="list-style-type: none"> <li>1. nonconformities and corrective actions?</li> <li>2. monitoring and measurement results?</li> <li>3. fulfillment of compliance obligations?</li> </ul> </li> <li>e) the results of internal and external audits?</li> <li>f) the results of management review with interested parties including compliants?</li> <li>g) opportunities for continual improvement?</li> </ul>
9.3.	<p>Does the management review include:</p> <ul style="list-style-type: none"> <li>— a determination of the suitability, adequacy and effectiveness of the EMS?</li> <li>— a determination of continual improvement opportunities?</li> <li>— decisions relating to the need for changes to the EMS, including resources?</li> </ul>

**SAMPLE**  
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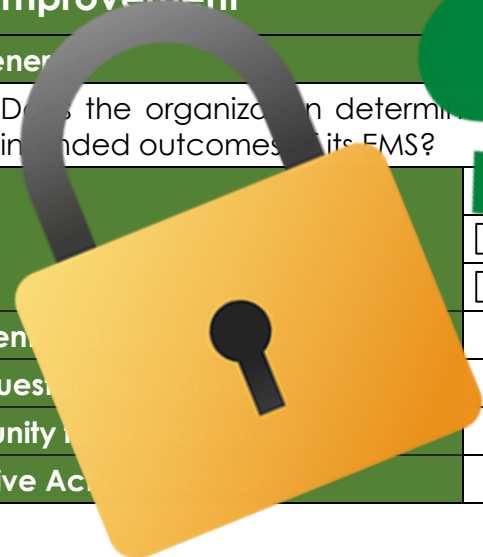


Criterion	Observation	
	<ul style="list-style-type: none"> <li>— the actions necessary when objectives are not achieved?</li> <li>— opportunities to improve the integration of the EMS with other business processes as required?</li> <li>— implications for the organization's strategic direction?</li> </ul>	
<b>9.3.</b>	Does the organization retain documented information as evidence of the results of management reviews?	
<b>Finding:</b>	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/>
<b>Document Evidence:</b>		
<b>Audit Question Response:</b>		
<b>Opportunity for improvement:</b>		
<b>Corrective Action Required:</b>		

10.0. Improvement		
10.1. General		
<b>10.1.</b>	Does the organization determine and act on opportunities for improvement to implement any necessary actions to achieve the intended outcomes of its EMS?	
<b>Finding:</b>	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other
<b>Document Evidence:</b>		
<b>Audit Question Response:</b>		
<b>Opportunity for improvement:</b>		
<b>Corrective Action Required:</b>		

SAMPLE

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Criterion	Observation
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**10.2. Incident, nonconformity and corrective action**

**10.2.** When a nonconformity occurs, how does the organization:

- a) react to the non-conformity?
  - 1. take action to control and correct it?
  - 2. deal with the consequences?
- b) evaluate the need for action to eliminate the cause(s) of the nonconformity and that it does not recur or occur elsewhere by:
  - 3. reviewing and analyzing the non-conformity?
  - 4. determining the causes of the nonconformity?
  - 5. determining if similar nonconformities have occurred or could occur?
- c) implementing actions required?
- d) review the effectiveness of any corrective actions taken?
- e) make changes to the EMS as necessary?

**10.2.** Does the organization ensure that corrective actions are appropriate to the consequences of the nonconformities encountered, including environmental impacts?

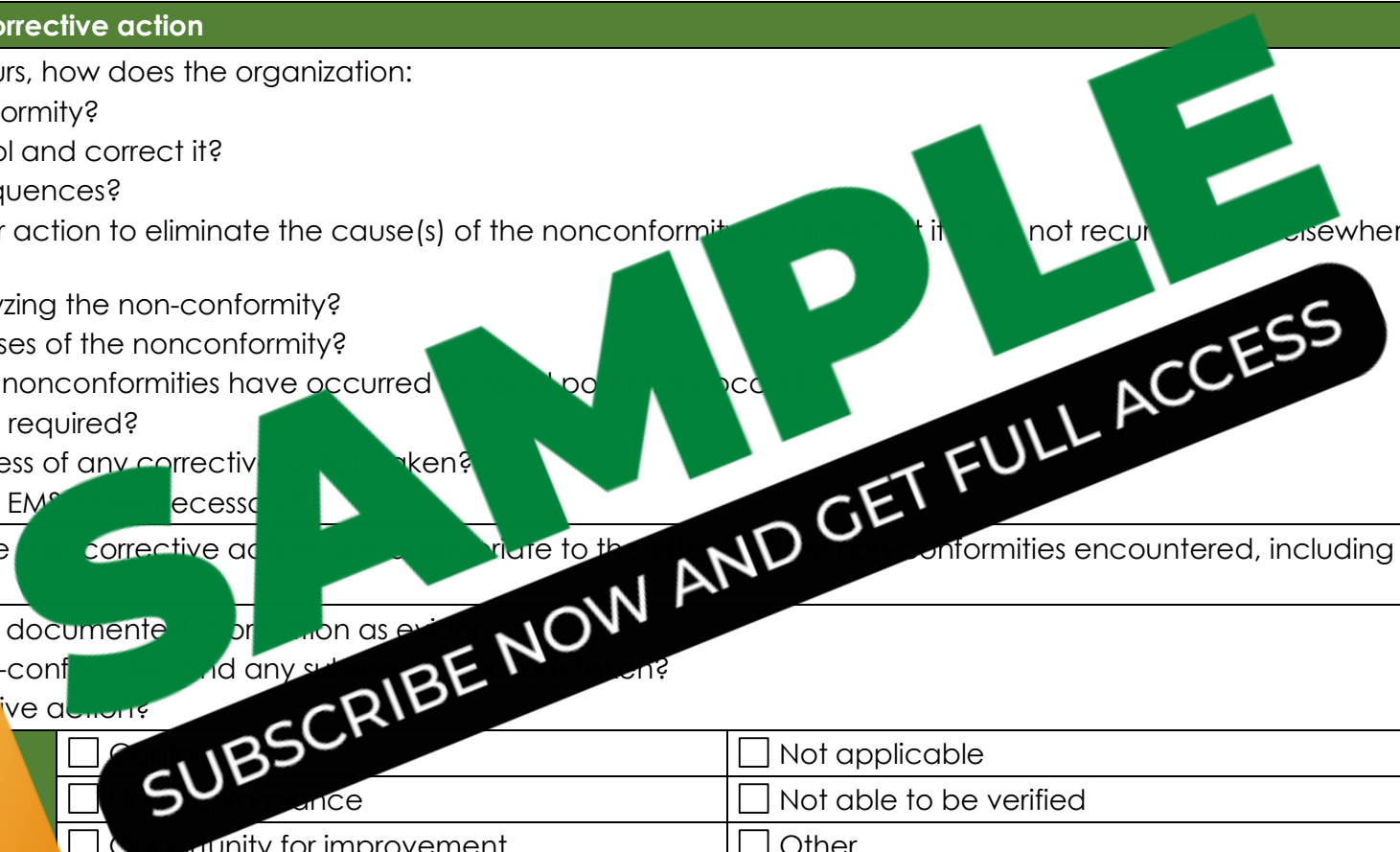
**10.2.** Does the organization retain documented information as evidence of the nature of the nonconformity and any subsequent corrective actions? What are the results of the corrective actions?

<b>Finding:</b>	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other

**Document Evidence:**

**Audit Questions:**

**Opportunity for Improvement:**



Criterion	Observation
Corrective Action Required:	
<b>10.3. Continual improvement</b>	
10.3.	Does the organization continually improve the suitability, adequacy and effectiveness of its environmental management system to enhance environmental performance?
Finding:	<input type="checkbox"/> Conformance <input type="checkbox"/> Non-conformance <input type="checkbox"/> Opportunity for improvement
Document Evidence:	
Audit Question Response:	
Opportunity for improvement:	
Corrective Action Required:	

**SAMPLE**  
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The Environmental Management Team wishes to express its appreciation for the cooperation and assistance provided by the management and staff of the organization. We thank them for their contribution to the audit process.

**Discussions:** The auditor discussed the findings of the audit with the management of the organization, and the matters, which were made evident to the auditor at the time of the audit, and with the organization's management, and the planning and the preparation undertaken.