

Audit Checklist (*Preview*)
EMS conformance to ISO 14001:2015 requirements

ISO 14001:2015 Clause	Questions	Conforms Yes/ No	Audited process	Auditor's tips (recommendations) What is being verified (explanations)?
1	2	3	4	5
...				
4 Context of the Organization				
...				
4.2 Understanding the Needs and Expectations of Interested Parties	<p>1. Who for the organization are interested parties that are relevant to the EMS?</p> <p>2. What are the needs and expectations of interested parties?</p> <p>3. Which of the needs and expectations become compliance obligations?</p>	<p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>	<p>Management review, Environmental Management</p>	<p>Definition and action with respect to the interested parties are usually described in the section 4.2 of the EMS Manual and in the 'Management review' procedure. A <i>good practice</i> is to define interested parties in the <i>Mission of the Organization</i>.</p> <p>A <i>good practice</i> is to formalize interested parties' requirements in the form of Stakeholders Interests Balance table.</p> <p><i>It is beneficial to link questions #1, #2 and #3 of sec.4.2 to the Management review questions - sec. 9.3.</i></p> <p>It is appropriate to verify the activities to meet the interested parties interests in the following processes:</p>

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				<ul style="list-style-type: none"> - <i>Shareholders</i> – 'Management review'; - <i>Workers</i> – 'Control of Personnel' and 'Internal Communication'; - <i>Providers, Contractors</i> – 'External Communication', 'Control of externally provided processes, products and services'; - <i>Society, Consumers</i> – 'Marketing'; - <i>Government</i> (interaction with legal framework, including taxation) - 'Management review', 'Control of documented information'.
...				
7 Support				
7.1 Resources	1. In what way and how often the adequacy of EMS resources is analyzed and ensured?	<input type="checkbox"/>	Management review	<p><u>A good practice:</u> Resources, required to setup, implement, maintain, and continually improve EMS include:</p> <ul style="list-style-type: none"> • Personnel involved in the activities that affect environmental performance and the ability to meet compliance obligations; • Environmental aspects monitoring and measuring resources;

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				<ul style="list-style-type: none"> Organizational knowledge relevant to environmental aspects and environmental impacts. <p>To achieve intended results the following is carried out in the EMS:</p> <ul style="list-style-type: none"> definition of the required resources; ensuring the availability of resources; resources maintenance.
...				
8 Operation				
8.1 Operational Planning and Control	1. What are the audited process criteria? 2. Have there been changes that impact EMS performance since the previous audit?	<input type="checkbox"/> <input type="checkbox"/>	EMS Processes	<p>Questions #1 and #2 should be linked to the questions in sec. 4.4 and sec. 9.1.1.</p> <p>Changes that impact EMS performance can include:</p> <p>a) new or changes to products, services and processes, including:</p> <ul style="list-style-type: none"> – working conditions; – equipment; – workplace locations and surroundings; – work organization; <p>b) changes to compliance obligations;</p> <p>c) changes in knowledge or information about</p>

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	<p>If YES:</p> <p>3. What activities were performed for management of change? Provide documented information in confirmation.</p>	<input type="checkbox"/>		<p>environmental risks;</p> <p>d) developments in knowledge and technology.</p> <p><u>A good practice:</u> Update and change of products, services, and processes, including working conditions, work sites' location and environment, equipment, organization of work and labor, are recorded in one of the information media by:</p> <ul style="list-style-type: none"> • Organization leadership based on the management review results; • Environmental management department head, among other things based on the analysis of the EMS meeting minutes; • Structural subdivision leaders. <p>When information about changes in products, services and processes is received, Environmental management department head initiates:</p> <ul style="list-style-type: none"> • Environmental aspects determination revision; • Risk reassessment; • Environmental opportunities reassessment.

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	<p>4. Are there Outsourced processes in scope of the EMS?</p> <p>If YES:</p> <p>5. How Outsourced processes are controlled? Provide documented information in confirmation.</p> <p>6. What controls are applied to ensure that environmental</p>	<p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>	<p>Environmental Management</p> <p>Design and development</p>	<p><u>A good practice:</u></p> <p>The organization provides control of processes transferred for outsourcing in the following way:</p> <ul style="list-style-type: none"> • Environmental criteria are included in the Outsourced process providers' evaluation methodologies; • Environmental criteria are included in terms of contracts with Outsourced process providers; • The environmental aspects of the Outsourced processes are being determined jointly with external providers; • Consultations are held with external providers regarding any issues and tasks relevant to outsourcing with regards to the EMS. <p>Processes transferred for outsourcing are included in the Internal audit program.</p> <p>The addressing of environmental requirements in the design and development</p>

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	<p>requirements are addressed in the design and development process for the product or service, considering each life cycle stage? Provide documented information as evidence.</p> <p>7. How the procurement of products and services are controlled in order to ensure their conformance with environmental requirements? Provide documented information in confirmation.</p> <p>8. Have the organization used the work of external providers, including contractors, in processes that are in scope of the EMS since</p>	<p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>	<p>of products and services</p> <p>Procurement</p> <p>Environmental Management, EMS Processes</p>	<p>process can, for example, include:</p> <ul style="list-style-type: none"> • (in the designed product) application of materials for which processing, operation and disposal are associated with the least environmental impact; • application of resource efficient technologies; • application of environmentally friendly technologies; • application of recycled packaging, etc. <p><u>A good practice:</u></p> <p>The organization implements control of procurement of products and services to provide for environmental requirements as follows:</p> <ul style="list-style-type: none"> • environmental criteria are included in Provider evaluation methodologies. • environmental criteria are included in contractors' contract terms.

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	<p>conducting the previous audit?</p> <p>If YES: Provide documented information as evidence of communication with external providers, including contractors, regarding environmental requirements.</p>	<p><input type="checkbox"/></p>		<p><u>A good practice:</u> Contracts with providers include obligations to:</p> <ul style="list-style-type: none"> • familiarize with the Environmental Policy; • familiarize and comply with the environmental requirements that are relevant to the contractors' activities. <p>At the opening briefing before the start of work the contractors' personnel is:</p> <ul style="list-style-type: none"> • Introduced to the Environmental Policy; • Familiarized with the general requirements of EMS, which are relevant to the contractors' activities. <p>Contractors' representatives are trained in environmental aspects control.</p> <p>The permanent working group of Environmental management department, in coordination with the contractors' representatives, carries out environmental aspects identification and environmental risk assessment.</p>
	<p>9. Did you consider the need) to provide information about</p>	<p><input type="checkbox"/></p>	<p>Environmental</p>	<p>Information about potential significant environmental impacts associated with the</p>

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	potential significant environmental impacts associated with the transportation or delivery, use, end-of-life treatment and final disposal of its products and services?		Management	transportation or delivery, use, end-of-life treatment and final disposal of its products and services could be provided in 'Product technical description' (or 'Service description'), 'Product manual' etc.
...				

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