



EMS AUDIT CHECKLIST

Page 1 of 1
Date: 2005.03.08
No.: 1 Rev.: 2

AUDIT SUBJECT: General requirements

AUDITEE:

AUDITEE ORGANIZATION:

LOCATION:

REQUIREMENT: The organization shall define and document the scope of its environmental management system.

REQUIRED REFERENCE(S):
ISO 14001:2004, clause 4.1

QUESTION:

Where has the organization defined and documented the scope of its environmental management system?

VERIFICATION METHOD:

Review the documented scope statement.

NONCONFORMITIES/AUDIT EVIDENCE:

STATUS:*

* KEY O=OPEN (ACTION REQUIRED), C=CLOSED, F=FOLLOW-UP

AUDITOR:

DATE:



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Date: 2005.03.08
No.: 11 Rev.: 2

AUDIT SUBJECT: Environmental policy
AUDITEE ORGANIZATION:

AUDITEE:
LOCATION:

REQUIREMENT: Top management shall define the organization's environmental policy and ensure that, within the defined scope of its environmental management system, it . . .
f) is . . . communicated to all persons working for or on behalf of the organization?

REQUIRED REFERENCE(S):
ISO 14001:2004, clause 4.2 (f)

QUESTION:

What is the organization's environmental policy? What does it mean to you in the work that you do?

VERIFICATION METHOD:

Ask employees in different levels and functions what their understanding is of the environmental policy and how it applies to their work. Take a stratified sample. Assess degree of understanding, e.g. through informal tallying of the number of employees whose understanding is excellent, fair/good, or inadequate. Include contractors working on-site or persons working off-site whose work activities are associated with the organization's significant environmental aspects.

NONCONFORMITIES/AUDIT EVIDENCE:

STATUS:*

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AUDITOR:

DATE:



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Date: 2005.03.08
No.: 16 Rev.: 2

AUDIT SUBJECT: Environmental aspects
AUDITEE ORGANIZATION:

AUDITEE:
LOCATION:

REQUIREMENT: The organization shall ensure that the significant environmental aspects are taken into account in establishing, implementing and maintaining its environmental management system.

REQUIRED REFERENCE(S):
ISO 14001:2004, clause 4.3.1 para. 3

QUESTION:

How has the organization taken into consideration its significant environmental aspects in establishing, implementing and maintaining its environmental management system?

VERIFICATION METHOD:

Review the main elements of the management system. Assess whether adequate consideration has been given to significant environmental aspects. Review especially the setting of objectives and targets, training, communication, operational control, emergency preparedness and response, and monitoring and measurement.

NONCONFORMITIES/AUDIT EVIDENCE:

STATUS:*

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AUDITOR:

DATE:



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Date: 2005.03.08
No.: 18 Rev.: 2

AUDIT SUBJECT: Legal and other requirements
AUDITEE ORGANIZATION:

AUDITEE:
LOCATION:

REQUIREMENT: The organization shall establish and maintain a procedure(s) to
b) determine how these requirements apply to its environmental aspects.

REQUIRED REFERENCE(S):
ISO 14001:2004, clause 4.3.2, para. 1 (b)

QUESTION:

How has the organization determined the applicability of environmental legal and other requirements to its activities, products and services?

VERIFICATION METHOD:

Ask management to describe a process for assessing the applicability of legal requirements and other requirements to its activities, products and services.

NONCONFORMITIES/AUDIT EVIDENCE:

STATUS:*

* KEY O=OPEN (ACTION REQUIRED), C=CLOSED, F=FOLLOW-UP

AUDITOR:

DATE:



EMS AUDIT CHECKLIST

Page 1 of 1
Date: 2005.03.08
No.: 30 Rev.: 2

AUDIT SUBJECT: Competence, training and awareness
AUDITEE ORGANIZATION:

AUDITEE:
LOCATION:

REQUIREMENT: The organization shall ensure that any person(s) performing tasks for it or on its behalf that have the potential to cause significant environmental impact(s) identified by the organization is (are) competent on the basis of appropriate education, training or experience, and shall retain appropriate records.

REQUIRED REFERENCE(S):
ISO 14001:2004, clause 4.4.2, para. 1

QUESTION:

How does the organization assess the competence of personnel performing tasks which can cause significant environmental impacts? How does the organization know which employees, or other persons working for it or on its behalf, can have significant impacts on the environment? What associated records are retained?

VERIFICATION METHOD:

Look for an analysis, by significant aspect, of the types of personnel associated with the work, and trace the organization's determination of competence. Look for the establishment by the organization of criteria of performance, and for evidence that personnel are assessed against those criteria. Include suppliers and subcontractors, as appropriate. Look for consequences of the assessment of personnel, such as implementation of training programs, educational development, and skill enhancement, and associated record keeping.

NONCONFORMITIES/AUDIT EVIDENCE:

STATUS:*

* KEY O=OPEN (ACTION REQUIRED), C=CLOSED, F=FOLLOW-UP

AUDITOR:

DATE: