



ISO 14001:2004 System Audit Template

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This document has been formulated as a tool to help organizations conduct a System Audit or Gap Analysis on an existing or potential ISO 14001 management system. The audit tool is based on the requirements of the standard and simply turns each clause into a audit question.

We hope you find this document useful and please do not hesitate to contact us with any questions.

ISO 14001 SYSTEM AUDIT TEMPLATE

	AREA /LOCATION: AUDIT DATE:	AUDITOR NAME: AUDITEE NAME:	
ISO CLAUSE REF:	REQUIREMENT	NON CONFORMANCE YES OR NO	COMMENTS / OBSERVATIONS
4.1	Has the organisation defined the scope of its environmental management system?		
4.2	<p>Has the organisations top management defined the environmental policy?</p> <p>Does the environmental policy reflect the following:</p> <ul style="list-style-type: none"> - Appropriate to nature & scale. - Commitment to improvement. - Prevention of pollution. - Legal requirements. - Objectives and targets. <p>Is the policy documented, implemented & maintained?</p> <p>Is the policy communicated to all persons working in the organisation?</p> <p>Is the policy available to the public?</p>		


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4.3.1	<p>Has the organisation established procedures to identify the environmental aspects of its activities, products and services?</p> <p>Has the organisation taken into account planned or new developments or new or modified activities, products and services?</p> <p>Has the organisation determined those aspects that have a significant impact on the environment?</p> <p>Is this information documented and up to date?</p> <p>Have the significant aspects been taken into account within the EMS?</p>		

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4.3.2	<p>Has the organisation established procedures to identify and have access to the applicable legal requirements to which the organisation subscribes?</p> <p>Has the organisation established procedures to determine how these requirements apply to its environmental aspects?</p> <p>Has the organisation reviewed international, national and local legal requirements within its review?</p>		


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4.3.3	<p>Has the organisation established , implemented and maintained documented enviro objectives & targets?</p> <p>Are the objectives and targets aimed at relevant functions and levels within the organisations?</p> <p>Are the objectives and targets measureable?</p> <p>Do they include commitments to prevention of pollution?</p> <p>Do they include commitments to compliance with legal requirements?</p> <p>Do they include commitment for continual improvements?</p> <p>Has the organisation taken into account technological, financial, operational, business requirements & views of interested parties when establishing its objectives and targets?</p> <p>Has the organisation established a program for achieving its objectives & targets, including responsibility, means & time-frames?</p>		

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4.4.1	<p>Has management provided resources to establish, implement, maintain & improve the environmental management system?</p> <p>Have roles, responsibilities and authorities been clearly defined, documented and communicated?</p> <p>Has a management representative been appointed?</p> <p>If so, does the representative's role include reporting to top management?</p>		

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4.4.2	<p>Has the organisation ensured that persons performing tasks with a potential impact are competent on the basis of education, training or experience?</p> <p>Have records been maintained for the above?</p> <p>Has the organisation identified training needs associated with its environmental impacts?</p> <p>Has it provided training to meet the above and maintained records?</p> <p>Has the organisation implemented procedures to make persons aware of the following: Environmental Policy?</p> <p>Aspects & impacts related each individuals work?</p> <p>Their roles & responsibilities in conforming to the environmental system requirements?</p> <p>The potential consequences of departure from specified procedures?</p>		

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4.4.3	<p>Has the organisation established procedures for the internal communication among the various levels of the organisation?</p> <p>Has the organisation established procedures for the receiving, documenting and responding to relevant communication from external interested parties?</p> <p>Has the organisation decided and documented its decision whether to communicate externally about its significant environmental aspects?</p> <p>If yes, has the organisation established a method for external communication?</p>		

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4.4.4	<p>Does the EMS documentation system include:</p> <ul style="list-style-type: none"> - An environmental policy? - Objectives & Targets? - Scope of the Environmental Management System? <p>Description of the main elements of the EMS and their interaction & reference to related documents?</p> <p>Documents required by ISO:14000 such as:</p> <ul style="list-style-type: none"> - Management Review Records - Internal Audit Records - Emergency Response Plan <p>Documents required by the organisation such as:</p> <ul style="list-style-type: none"> - Monitoring & Measurement Schedule - M.S.D.S Sheets - Waste Permits 		

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4.4.5	<p>Has a procedure been established to approve documents for adequacy prior to use?</p> <p>Has a procedure been established to review and update as necessary and re-approve documents?</p> <p>Has a procedure been established to ensure that changes and the current revision status are identified?</p> <p>Has a procedure been established to ensure that relevant versions of applicable documents are available at the point of use?</p> <p>Has a procedure been established to ensure that documents remain legible and readily identifiable?</p> <p>Has a procedure been established to ensure that documents of external origin are identified and controlled?</p> <p>Has a procedure been established to prevent the unintended use of obsolete doc's and identification if they are retained?</p>		

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4.4.6	<p>Have procedures been established to control to situations where there absence could lead to deviations from the environmental policy?</p> <p>Have the procedures issued stipulated the operating criteria?</p> <p>Have procedures been established relating to the goods and services used by the organisation?</p> <p>Has the organisation communicated applicable procedures to suppliers including contractors?</p>		

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4.4.7	<p>Has a procedure been established to identify potential emergency situations and how it will respond to them?</p> <p>Do the procedures shall outline how to prevent or mitigate adverse environmental impacts?</p> <p>Does the organisation periodically review its emergency preparedness and response procedures?</p> <p>Does the organisation periodically test such procedures?</p>		

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4.5.1	<p>Has a procedure been established to monitor & measure key impacts, the procedure should include information on performance, controls and conformity?</p> <p>Is calibrated monitoring and measurement equipment used and maintained with associated records?</p>		

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4.5.2 4.5.2.1 4.5.5.2	<p>Has a procedure been developed for the period evaluation of compliance with applicable legal requirements?</p> <p>Have records been kept of the results of the periodic evaluations?</p> <p>Has a procedure been developed for the period evaluation of compliance with other requirements to which it subscribes?</p> <p>Have records been kept of the results of the periodic evaluations?</p>		

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4.5.3	<p>Has the organisation issued procedures for dealing with actual and potential non-conformities and taking corrective and preventive actions?</p> <p>Does the procedure include requirements for:</p> <ul style="list-style-type: none"> - Identifying & correcting non-conformities - Investigating & determining cause - Implementing appropriate actions - Recording results. - Reviewing effectiveness <p>Has the organisation made provision for ensuring that any necessary changes are made to the EMS documentation?</p>		


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4.5.4	<p>Has the organisation established records to demonstrate conformity to the standard and the results achieved?</p> <p>Has a procedure been established for the identification, storage, protection, retrieval, retention and disposal of records?</p> <p>Are records legible, identifiable and traceable?</p>		

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4.5.5	<p>Has the organisation ensured that internal audits are conducted at planned intervals?</p> <p>Have the audits been planned with consideration to the environmental importance of the operations?</p> <p>Has a procedure been established outlining the responsibilities, requirements, reporting and retaining of results?</p> <p>Has a procedure been established to determine the criteria, scope, frequency and method?</p>		

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4.6	<p>Are reviews conducted by top management at regular intervals?</p> <p>Have records of the management reviews been maintained?</p> <p>Have the reviews included the following:</p> <ul style="list-style-type: none"> - Results of Audits - Compliance with legal requirements - Communication from external parties. - Environmental Performance. - Extent to which objectives & targets are met - Status of corrective & preventive actions - Follow up actions from previous mgt reviews - Changing circumstances - Recommendations for improvements <p>Have the outputs of the reviews included decisions and actions relating to the following:</p> <ul style="list-style-type: none"> - Environmental Policy - Objectives & Targets - Environmental continual improvement 		