



ISO 14001:2015 Checklist

Criteria	NCR	OBS	Follow up	Link	Notes
<p>4 Context of the organisation</p> <p>4.1 Understanding the organisation and its context</p> <p>Has the organisation identified both external and internal factors that are relevant to its purpose and could impact its ability to achieve the intended results of its Environmental Management System (EMS)?</p>				<p>4.3></p> <p>4.4></p>	
<p>4.2 Understanding the needs and expectations of interested parties</p> <p>Has the organisation determined:</p> <ul style="list-style-type: none"> a) The key stakeholders relevant to the EMS? b) Their specific needs and expectations (i.e., requirements)? c) Which of these requirements form part of the organisation's compliance obligations? 					
<p>4.3 Determining the scope of the environmental management system</p> <p>Has the organisation clearly established the boundaries and applicability of its EMS?</p> <p>In doing so, has it considered:</p> <ul style="list-style-type: none"> ● The external and internal factors identified in section 4.1? ● The compliance obligations outlined in section 4.2? ● Its organisational units, functions, and physical locations? ● The nature of its activities, products, and services? ● Its level of authority and capacity to influence and control? <p>Is the EMS scope formally documented and accessible to relevant stakeholders?</p>				<p><4.1</p> <p><4.2</p>	
<p>4.4 Environmental management system</p> <p>Has the organisation implemented, maintained, and continuously improved its EMS in line with ISO 14001 requirements?</p> <p>In developing and maintaining its EMS, has the organisation incorporated insights gained from sections 4.1 and 4.2? How?</p>				<p><4.1</p> <p><4.2</p>	



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<p>5 Leadership</p> <p>5.1 Leadership and commitment</p> <p>Does top management demonstrate strong leadership and commitment to the EMS by:</p> <ul style="list-style-type: none"> ● Taking responsibility for its effectiveness? ● Ensuring environmental policies and objectives align with the organisation's strategic direction? ● Integrating EMS requirements into business processes? ● Allocating adequate resources for EMS implementation? ● Communicating the importance of environmental management and compliance? ● Supporting and empowering personnel to contribute to EMS success? ● Encouraging continuous improvement? ● Assisting other leaders in fulfilling their EMS responsibilities? 					
<p>5.2 Environmental policy</p> <p>Has top management established, implemented, and maintained an environmental policy that:</p> <ul style="list-style-type: none"> ● Aligns with the organisation's purpose, context, and environmental impact? ● Provides a structured framework for setting environmental objectives? ● Demonstrates a clear commitment to environmental protection, including pollution prevention and other relevant sustainability commitments? <p>Is this policy:</p> <ul style="list-style-type: none"> ● Properly documented? 				<6.1.2 7.4>	



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<ul style="list-style-type: none"> ● Communicated within the organisation? ● Available to external stakeholders when necessary? 					
<p>5.3 Organisational roles, responsibilities, and authorities</p> <p>Has top management allocated and communicated key EMS roles and responsibilities within the organisation?</p> <p>Have they assigned authority for:</p> <ul style="list-style-type: none"> ● Ensuring the EMS meets ISO 14001 requirements? ● Reporting EMS performance and environmental outcomes to top management? 					
<p>6 Planning</p> <p>6.1 Actions to address risks and opportunities</p> <p>6.1.1 General</p> <p>Has the organisation established, implemented, and maintained processes for managing risks and opportunities related to:</p> <ul style="list-style-type: none"> ● The factors identified in section 4.1? ● The requirements in section 4.2? ● The defined EMS scope? <p>Has the organisation considered risks and opportunities associated with:</p> <ul style="list-style-type: none"> ● Environmental aspects (see section 6.1.2)? ● Compliance obligations (see section 6.1.3)? ● Other identified internal and external factors? <p>Does the organisation ensure that these risks and opportunities are managed to:</p> <ul style="list-style-type: none"> ● Maintain EMS effectiveness? 				<4.1 <4.2 6>	



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<ul style="list-style-type: none"> Minimise negative environmental impacts? Drive continual improvement? <p>Has the organisation assessed potential emergency situations that could have environmental consequences? Are these risks, opportunities, and necessary actions documented?</p>					
<p>6.1.2 Environmental aspects</p> <p>Has the organisation identified the environmental aspects of its activities, products, and services, considering both what it can control and influence? When identifying aspects and impacts, has it considered:</p> <ul style="list-style-type: none"> Planned or new developments? Changes in activities, products, or services? Abnormal conditions and foreseeable emergencies? <p>Has the organisation determined which aspects have a significant environmental impact? Is information about significant environmental aspects effectively communicated within the organisation? Is all relevant information on environmental aspects, impacts, and assessment criteria documented?</p>				8.2>	
<p>6.1.3 Compliance obligations</p> <p>Has the organisation identified and maintained access to its environmental compliance obligations? Has it determined how these compliance obligations apply to its operations? Are compliance obligations considered in the planning, implementation, and continuous improvement of the EMS? Are documented records of compliance obligations maintained?</p>				9.1.2>	



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<p>6.1.4 Planning action Has the organisation planned actions to address:</p> <ul style="list-style-type: none"> ● Significant environmental aspects? ● Compliance obligations? ● Risks and opportunities identified in section 6.1.1? <p>Has it determined how to:</p> <ul style="list-style-type: none"> ● Integrate and implement these actions into EMS processes and business operations (refer to sections 6.2, 7, 8, and 9.1)? ● Evaluate the effectiveness of these actions (refer to section 9.1)? <p>When planning actions, has the organisation considered:</p> <ul style="list-style-type: none"> ● Available technological options? ● Financial, operational, and business priorities? 				<6.1.1 <6.2 9.1>	
<p>6.2 Environmental objectives and planning to achieve them 6.2.1 Environmental objectives Has the organisation set environmental objectives across relevant functions and levels, taking into account:</p> <ul style="list-style-type: none"> ● Significant environmental aspects? ● Compliance obligations? ● Risks and opportunities? <p>Are these objectives:</p> <ul style="list-style-type: none"> ● Consistent with the environmental policy? ● Measurable where possible? ● Monitored and regularly reviewed? 				<6.1.2 <6.1.3 8>	



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<ul style="list-style-type: none"> • Communicated within the organisation? • Updated as necessary? 					
<p>Are documented records of environmental objectives maintained?</p>					
<p>6.2.2 Planning actions to achieve environmental objectives</p> <p>When planning how to achieve environmental objectives, has the organisation determined:</p> <ul style="list-style-type: none"> • What actions need to be taken? • What resources are required? • Who is responsible? • When actions should be completed? • How progress and effectiveness will be evaluated (including performance indicators—refer to section 9.1.1)? <p>Has the organisation integrated these planned actions into its business processes and overall EMS?</p>				<p><4.4 8></p>	
<p>7 Support</p> <p>7.1 Resources</p> <p>Has the organisation ensured that sufficient resources are available to establish, implement, maintain, and improve the EMS?</p>					
<p>7.2 Competence</p> <p>Has the organisation:</p> <ul style="list-style-type: none"> • Determined the competencies required for individuals whose work affects environmental performance? • Ensured personnel are suitably trained, educated, or experienced? • Identified and addressed training needs related to environmental aspects and EMS requirements? 				<p><6 <7 <8</p>	



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<ul style="list-style-type: none"> • Verified the effectiveness of training and competency-building efforts? 					
<p>7.3 Awareness Are individuals within the organisation aware of:</p> <ul style="list-style-type: none"> • Environmental policy? • Significant environmental aspects and their potential impacts? • Their role in ensuring EMS effectiveness? • The consequences of failing to meet EMS requirements? 					
<p>7.4 Communication 7.4.1 General Has the organisation established, implemented, and maintained communication processes relevant to its EMS? Do these processes cover:</p> <ul style="list-style-type: none"> • What information will be communicated? • When communication will occur? • Who the communication is directed to? • The methods and channels used for communication? <p>In establishing communication processes, has the organisation:</p> <ul style="list-style-type: none"> • Considered its compliance obligations? • Ensured that the environmental information shared is accurate, consistent, and reliable? <p>Does the organisation respond appropriately to relevant EMS-related communications? Are records of communications maintained as documented information where necessary?</p>					



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<p>7.4.2 Internal communication Does the organisation ensure that key environmental management information is effectively communicated across all levels and functions?</p> <p>Are changes to the EMS communicated to relevant personnel as required?</p> <p>Do communication processes enable employees and workers under the organisation's control to contribute to continuous improvement of the EMS?</p>					
<p>7.4.3 External communication Does the organisation externally communicate information relevant to its EMS in accordance with:</p> <ul style="list-style-type: none"> ● Its established communication processes? ● Its compliance obligations? 					
<p>7.5 Documented information 7.5.1 General Does the organisation's EMS include:</p> <ul style="list-style-type: none"> ● Documented information required by ISO 14001? ● Additional documented information determined by the organisation as necessary for the effectiveness of the EMS? 					
<p>7.5.2 Creating and updating When creating and updating documented information, does the organisation ensure:</p> <ul style="list-style-type: none"> ● Clear identification and description (e.g., title, date, author, reference number)? ● Appropriate format (e.g., language, software version, graphics) and media (e.g., paper, electronic)? 					



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<ul style="list-style-type: none"> That all documents are reviewed and approved for suitability and adequacy before use? 					
<p>7.5.3 Control of documented information Is documented information required by the EMS and ISO 14001 properly controlled to ensure:</p> <ul style="list-style-type: none"> Availability and accessibility where and when needed? Adequate protection against loss, unauthorised use, or damage? <p>In controlling documented information, has the organisation addressed:</p> <ul style="list-style-type: none"> Distribution, access, retrieval, and use? Storage and preservation, including maintaining legibility? Change control (e.g., version management)? Retention and disposal procedures? <p>Has the organisation identified and controlled relevant external documents necessary for planning and operating the EMS?</p>					
<p>8 Operation 8.1 Operational planning and control Has the organisation established, implemented, and maintained processes necessary for EMS effectiveness, including:</p> <ul style="list-style-type: none"> Defining operational controls? Managing planned and unplanned changes? Controlling outsourced processes? <p>Has it incorporated a life-cycle perspective in operational controls, such as:</p> <ul style="list-style-type: none"> Environmental requirements in product and service design? 				<4 <5 <6.1 <6.2	



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<ul style="list-style-type: none"> ● Supplier and contractor requirements? ● Environmental considerations in transportation, use, and disposal? 					
<p>8.2 Emergency preparedness and response</p> <p>Has the organisation established and maintained procedures for identifying and managing potential environmental emergencies?</p> <p>Does it:</p> <ul style="list-style-type: none"> ● Plan for emergency situations to prevent or reduce adverse impacts? ● Provide relevant training and information on emergency preparedness? ● Periodically test and update emergency response procedures? ● Keep records of emergency response plans and actions taken? 				<6.1.1 <6.1.2	
<p>9 Performance evaluation</p> <p>9.1 Monitoring, measurement, analysis, and evaluation</p> <p>9.1.1 General</p> <p>Does the organisation monitor, measure, analyse, and evaluate its environmental performance effectively?</p> <p>Has it determined:</p> <ul style="list-style-type: none"> ● What needs to be monitored and measured? ● The methods for monitoring, measurement, analysis, and evaluation to ensure valid results? ● The criteria for evaluating environmental performance, including relevant indicators? ● The frequency of monitoring and measurement? ● The timing of result analysis and evaluation? 					



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<p>Does the organisation ensure that measuring and monitoring equipment is properly calibrated or verified for accuracy?</p> <p>Does the organisation evaluate both environmental performance and the overall effectiveness of the EMS?</p> <p>Is relevant environmental performance data communicated internally and externally as required?</p> <p>Does the organisation maintain documented records of monitoring, measurement, analysis, and evaluation results?</p>					
<p>9.1.2 Evaluation of compliance</p> <p>Has the organisation established and maintained processes to assess its compliance with environmental requirements?</p> <p>Does it:</p> <ul style="list-style-type: none"> ● Determine the frequency of compliance evaluations? ● Assess compliance and take corrective action if needed? ● Maintain an up-to-date understanding of its compliance status? <p>Are documented records of compliance evaluations maintained as evidence?</p>				<6.1.3	
<p>9.2 Internal audit</p> <p>9.2.1 General</p> <p>Does the organisation conduct internal audits at planned intervals to assess whether its EMS:</p> <ul style="list-style-type: none"> ● Complies with its own requirements? ● Meets ISO 14001 standards? ● Is effectively implemented and maintained? 					
9.2.2 Internal audit programme					



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<p>Has the organisation established, implemented, and maintained an internal audit program that includes:</p> <ul style="list-style-type: none"> ● The frequency of audits? ● The methods and responsibilities for conducting audits? ● Planning requirements and reporting processes? <p>In defining the audit program, has the organisation considered:</p> <ul style="list-style-type: none"> ● The environmental significance of processes being audited? ● Organisational changes that may impact EMS performance? ● Previous audit results? <p>Has the organisation:</p> <ul style="list-style-type: none"> ● Defined clear audit criteria and scope for each audit? ● Selected competent auditors and ensured objectivity and impartiality? ● Reported audit results to relevant management? <p>Are documented records of the audit program and its findings maintained?</p>					
<p>9.3 Management review</p> <p>Does top management conduct regular EMS reviews to ensure it remains suitable, adequate, and effective?</p> <p>Does the management review consider:</p> <ul style="list-style-type: none"> ● The status of actions from previous reviews? ● Changes in: <ul style="list-style-type: none"> ○ Internal and external factors affecting the EMS? ○ Stakeholder needs, expectations, and compliance obligations? 					



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<ul style="list-style-type: none"> ○ Significant environmental aspects? ○ Risks and opportunities? ● The organisation's progress towards its environmental objectives? ● Environmental performance trends, including: <ul style="list-style-type: none"> ○ Nonconformities and corrective actions? ○ Monitoring and measurement data? ○ Compliance status? ○ Audit findings? ● The adequacy of EMS resources? ● Relevant communications from stakeholders, including complaints? ● Opportunities for continual improvement? <p>Do the outcomes of the management review include:</p> <ul style="list-style-type: none"> ● Conclusions on the EMS's continued suitability and effectiveness? ● Decisions on improvement opportunities? ● Actions required to enhance EMS performance? ● Adjustments to environmental objectives, processes, or resources? ● Recommendations for better EMS integration with other business processes? ● Considerations for the organisation's strategic direction? <p>Does the organisation maintain documented records of management review outcomes?</p>					
10 Improvement 10.1 General Has the organisation identified opportunities for improvement and taken action to achieve EMS objectives?				<9.2 <9.3	



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10.2 Nonconformity and corrective action When an issue arises, does the organisation: <ul style="list-style-type: none"> • Take corrective action to address it? • Investigate the cause and prevent recurrence? • Keep records of the issue and corrective measures taken? 					
10.3 Continual improvement Does the organisation continuously work towards improving the suitability, adequacy, and effectiveness of its EMS to enhance environmental performance?					

Auditor Details and Audit Summary

- **Auditor:** *(Enter name of the auditor conducting the assessment)*
- **Date:** *(Record the date of the audit)*
- **Conclusion:** *(Summarise key findings and overall assessment of the EMS compliance and effectiveness)*

Guidelines for Use

- The **Criteria** column lists the specific questions and requirements being assessed.
- The **NCR (Non-Conformance Report)** column is used to document any confirmed non-conformities that require corrective action—these are typically identified before the closing meeting.
- The **OBS (Observation)** column is for recording observations that may indicate potential issues—these should also be noted before the closing meeting.
- The **Follow-up** column is used to track identified findings. If an issue requires further attention, it should be marked here. It's optional but recommended to place an asterisk (*) in this box and circle it once a final decision is made.
- The **Link** column serves as a simple reference for information flow:
 - "<" (in) indicates information coming into a process.
 - ">" (out) indicates information flowing out of a process.
- The **Notes** column is for recording supporting evidence, observations, and additional details gathered during the audit.