

ISO 14001:2015 Audit Checklist

Environmental Management Systems - Downloadable Website Resource

This checklist is designed to help organizations evaluate readiness against ISO 14001:2015 requirements. It can be used for internal reviews, supplier evaluation, pre-certification preparation, and ongoing environmental management system monitoring.

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How to Use This Checklist

- Review each ISO 14001:2015 requirement and record objective evidence such as documented information, records, interviews, observations, controls, and operational monitoring results.
- Use the status column to indicate Conforming, Partially Conforming, Nonconforming, or Not Applicable based on evidence reviewed.
- Record gaps, risks, opportunities, and corrective actions in the notes column for management follow-up.
- This checklist is for educational and preparation purposes. Certification decisions must be based on an independent certification assessment process.

Organization and Assessment Details

Organization Name		Assessment Date	
Location / Site		Scope of EMS	
Reviewer / Team		Department / Process	
Total Employees		Applicable Legal Requirements Reviewed	Yes / No



Checklist Rating Guide

Rating	Meaning	Typical Evidence
C	Conforming - requirement is implemented and supported by adequate evidence.	Documented procedure, records, interviews, monitoring results, legal compliance evidence.
PC	Partially Conforming - requirement is partly implemented but has weaknesses or incomplete evidence.	Draft documents, inconsistent application, missing records, limited communication.
NC	Nonconforming - requirement is not implemented or evidence is missing.	No defined process, no records, ineffective control, repeated unresolved issue.
NA	Not Applicable - requirement is not relevant to the organization, with justification.	Approved scope statement or documented applicability rationale.

The checklist below follows the ISO 14001:2015 clause structure. Organizations should adapt it based on their environmental aspects, compliance obligations, operational controls, interested parties, emergency risks, and environmental performance indicators.

Clause 4 - Context of the Organization

Clause	Audit Question	Evidence to Review	Status C/PC/NC/NA	Notes / Gaps / Actions
4.1	Has the organization determined internal and external issues relevant to its purpose and environmental performance?	Context analysis, business risks, environmental conditions, strategic review.		
4.2	Has the organization identified interested parties and their relevant environmental needs and expectations?	Interested party register, stakeholder analysis, customer/regulator/community expectations.		
4.3	Has the EMS scope been defined considering activities, products, services, locations, authority, and boundaries?	EMS scope statement, site list, activity boundaries, outsourced process review.		
4.4	Has the organization established, implemented, maintained, and continually improved the EMS?	Process map, EMS manual/overview, documented procedures, performance review outputs.		

Clause 5 - Leadership

Clause	Audit Question	Evidence to Review	Status C/PC/NC/NA	Notes / Gaps / Actions
5.1	Does top management demonstrate leadership and accountability for the EMS?	Leadership review minutes, resource allocation, communication records, performance monitoring.		
5.2	Is the environmental policy appropriate, documented, communicated, and available to interested parties?	Environmental policy, communication records, website display, employee awareness evidence.		
5.3	Are EMS roles, responsibilities, and authorities assigned and communicated?	Organization chart, responsibility matrix, job descriptions, appointment letters.		

Clause 6 - Planning

Clause	Audit Question	Evidence to Review	Status C/PC/NC/NA	Notes / Gaps / Actions
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6.1.1	Has the organization planned actions to address risks and opportunities related to the EMS?	Risk and opportunity register, action plans, review records.		
6.1.2	Have environmental aspects and impacts been identified using a life cycle perspective?	Aspect-impact register, significance criteria, lifecycle considerations, process review.		
6.1.3	Are compliance obligations determined, accessible, and considered in the EMS?	Legal register, permits, licenses, regulatory subscriptions, compliance matrix.		
6.1.4	Are actions planned to address significant aspects, compliance obligations, risks, and opportunities?	Environmental objectives, control plans, project plans, responsible persons.		
6.2.1	Are environmental objectives established at relevant functions and levels?	Objectives register, targets, KPIs, department plans.		
6.2.2	Are plans defined for achieving environmental objectives, including resources, responsibilities, timelines, and evaluation methods?	Action plans, monitoring methods, responsibility matrix, progress review records.		

Clause 7 - Support

Clause	Audit Question	Evidence to Review	Status C/PC/NC/NA	Notes / Gaps / Actions
7.1	Has the organization determined and provided resources needed for EMS implementation and improvement?	Budget approvals, monitoring equipment, training resources, personnel allocation.		
7.2	Are persons performing work under the organization competent based on education, training, or experience?	Competency matrix, training records, evaluation results, contractor competency records.		
7.3	Are employees and persons working under the organization aware of the environmental policy, aspects, contributions, and consequences of nonconformance?	Awareness training, toolbox talks, interview evidence, posters and communications.		
7.4.1	Are internal and external EMS communication processes defined?	Communication procedure, communication matrix, stakeholder communication records.		
7.4.2	Is internal communication relevant to the EMS carried out across functions and levels?	Internal emails, meeting minutes, awareness sessions, issue escalation records.		
7.4.3	Is external communication managed according to compliance obligations and EMS requirements?	Regulatory submissions, community communications, customer environmental disclosures.		
7.5	Is EMS documented information controlled, maintained, retained, and protected?	Document control procedure, master list, records retention, revision control.		

Clause 8 - Operation

Clause	Audit Question	Evidence to Review	Status C/PC/NC/NA	Notes / Gaps / Actions
8.1	Are operational controls established for processes linked to significant environmental aspects and compliance obligations?	Operational control procedures, work instructions, maintenance logs, control criteria.		
8.1	Are outsourced processes and procurement activities controlled or influenced from a life cycle perspective?	Supplier requirements, purchase specifications, contractor controls, outsourced process agreements.		
8.2	Has the organization established emergency preparedness and response processes?	Emergency plans, spill response procedure, mock drills, incident response records.		
8.2	Are emergency response arrangements tested, reviewed, and updated after incidents or exercises?	Drill reports, lessons learned, corrective actions, revised emergency plans.		

Clause 9 - Performance Evaluation

Clause	Audit Question	Evidence to Review	Status C/PC/NC/NA	Notes / Gaps / Actions
9.1.1	Does the organization monitor, measure, analyze, and evaluate environmental performance?	Monitoring plan, KPIs, emissions/waste/water/energy records, analysis reports.		
9.1.1	Is monitoring and measuring equipment calibrated or verified where applicable?	Calibration certificates, verification records, equipment logs.		
9.1.2	Does the organization evaluate compliance with legal and other requirements?	Compliance evaluation reports, permit reviews, regulatory inspection records.		
9.2	Are internal EMS assessments conducted at planned intervals?	Internal assessment schedule, checklists, reports, nonconformity records.		
9.2	Does the internal assessment program consider environmental importance, changes, and previous results?	Assessment program criteria, risk-based schedule, previous finding trends.		
9.3	Does top management review the EMS for suitability, adequacy, effectiveness, and strategic alignment?	Management review minutes, inputs/outputs, actions, improvement decisions.		

Clause 10 - Improvement

Clause	Audit Question	Evidence to Review	Status C/PC/NC/NA	Notes / Gaps / Actions
10.1	Does the organization identify opportunities for improvement and act to achieve intended EMS outcomes?	Improvement register, project records, environmental performance improvements.		
10.2	Are nonconformities and corrective actions managed effectively, including root cause analysis?	NC reports, corrective action plans, root cause records, effectiveness checks.		
10.3	Is the EMS continually improved to enhance environmental performance?	Trend analysis, management review outputs, improvement projects, objective results.		

Gap Summary and Action Plan

No.	Requirement / Process Area	Finding Summary	Risk Level	Responsible Person	Target Date	Closure Evidence
1						
2						
3						
4						
5						
6						
7						
8						

Common ISO 14001:2015 Evidence Examples

Area	Examples of Objective Evidence
Context and scope	Context analysis, interested party register, EMS scope statement, process map.
Environmental aspects	Aspect-impact register, significance criteria, life cycle perspective review.
Compliance obligations	Legal register, permits, license conditions, compliance evaluation records.
Operational control	Work instructions, SOPs, waste handling records, maintenance logs, contractor controls.
Emergency preparedness	Emergency response plan, spill kit inspection, mock drill report, incident logs.
Performance evaluation	Monitoring data, calibration records, KPI dashboard, internal assessment report, management review.

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Disclaimer: This resource is intended as a practical educational checklist for ISO 14001:2015 preparation. It does not replace the ISO 14001:2015 standard, legal obligations, or an independent certification decision. Organizations should refer to the official standard and applicable environmental regulatory requirements.

