



AS/NZS ISO 14001

AUDIT REPORT



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1.0. Audit Guidance

This audit report checklist template encompasses the requirements of AS/NZS ISO 14001 Environmental Management Systems, section 4.0 to section 10.0.

To assist with the auditing process each of the required AS/NZS ISO 14001 criteria is phrased as a question. It is highly recommended the auditor have a copy of the AS/NZS ISO 14001 Environmental Management Systems Standard on hand to assist in the audit process.

To ensure a sufficient response to the audit criteria, it is recommended that the audit criteria be cut and pasted into the "Audit Question Response" section and then formulated into a detailed audit criteria response. The response should include evidence of compliance.

2.0. Audit Scope and Method

The audit's intention is to provide assurance to senior management that risks to the achievement of environmental objectives being (or will be) adequately managed and controlled. The audit findings should be able to identify required corrective actions for the AS/NZS ISO 14001 system or processes to be communicated to the relevant parties.

The audit rating system is graded from 'conformance' to 'non-conformance'. The audit findings are concise and clear for scoring each audit criteria. There is also a process for identifying non-conformances for improvement. The findings contribute well to the continual improvement process. AS/NZS ISO 14001 Environmental Management Systems Standard section 10.0.

At the end of the audit, you can consider the findings in the summary table and the audit report.

The completed audit report should include the audit findings, documentation of the audit process, non-conformances observed, subsequently allowing the monitoring and review of any corrective actions that were raised.

Audit Criteria

This audit report checklist template includes the following elements as listed in the audit criteria. You may exclude any element(s) out of your specific audit scope.

- AS/NZS ISO 14001:2015 Context
- AS/NZS ISO 14001:2015 Leadership
- AS/NZS ISO 14001:2015 Planning
- AS/NZS ISO 14001:2015 Support
- AS/NZS ISO 14001:2015 Operation
- AS/NZS ISO 14001:2015 9. Performance Evaluation
- AS/NZS ISO 14001:2015 10. Improvement

3.0. Audit Ratings

Finding	Definition/Impact	Action/Mitigation
Conformance:	Indicates that the criterion has been met.	Nil action required. Continue to monitor trends and indicators.
Non-Conformance:	Indicates that the criterion has not been met.	Investigate root cause(s) and implement corrective actions by the next reporting period or scheduled audit.
Not able to be verified:	Indicates that procedures are in place but, there have been no cases to test those procedures. It is expected that this classification will only be used in limited circumstances and where applied, the reason for the finding will be explained by the auditor.	
Not applicable:	Indicates that the criterion does not apply.	
Opportunity for improvement:	Conformance has been achieved, however, there is a low risk issue that has an opportunity to improve the current performance. Unresolved OFI's may develop into non-conformance.	Review the process(es) to improve the process(es). Implement corrective actions to determine if improvement was achieved.
Other:	Can relate to a random observation.	

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List of Persons Interviewed

Name	Position

Summary of Findings

Outcome	Criteria
Conformances	
Non-conformances	
Not applicable	
Not applicable	
Opportunities	
Other	

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Non-Conformances

Several non-conformances were identified during the audit. They are:

Criterion	Non-conformance

Not Able to be Verified

Several criteria were unable to be verified during the audit. They are:

Criterion	Not Able to be Verified

Criterion	Not Applicable

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Opportunities for Improvement

A few observations were identified during the audit. They are:

Criterion	Observation

Corrective Actions Required

Several corrective actions have been identified as a result of the audit. They are:

Criterion	Corrective Actions

The following observations were identified during the audit. They are:

Criterion	Observation



Criterion	Observation
4.0. Context of the Organization	
4.1. Understanding the organization and its context	
4.1.	Has the organization determined external and internal issues relevant to its purpose that could affect its ability to achieve the intended result(s) of its EMS?
4.1.	Does the organization monitor and review external and internal environmental conditions which can affect the organization, and which the organization could affect?
Findings:	<input type="checkbox"/> Conformance <input type="checkbox"/> Non-conformance <input type="checkbox"/> Opportunity for improvement <input type="checkbox"/> Not applicable <input type="checkbox"/> Not able to be verified <input type="checkbox"/> Other
Document Evidence:	
Audit Question Response:	
Opportunity for improvement:	
Corrective Action Required:	
4.2. Understanding the requirements and expectations of interested parties	
4.2.	Determine: <ul style="list-style-type: none"> What are the requirements and expectations of interested parties that are relevant to the EMS? (this may include regulatory requirements, local, state, and federal laws, and other applicable requirements) What are the internal and external environmental conditions that can affect, or be affected by the organization? How are these requirements and conditions to be managed as compliance obligations to mitigate adverse risk or exploit beneficial opportunities? How can these requirements and conditions be integrated in the operational planning of the EMS?
Finding:	<input type="checkbox"/> Conformance <input type="checkbox"/> Non-conformance <input type="checkbox"/> Not applicable <input type="checkbox"/> Not able to be verified

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Criterion	Observation
	<input type="checkbox"/> Opportunity for improvement <input type="checkbox"/> Other
Document Evidence:	
Audit Question Response:	
Opportunity for improvement:	
Corrective Action Required:	

4.3. Determining the scope of the environmental management system

4.3.	Does the organization determine the boundaries and applicability of its EMS to establish its scope?	
4.3.	When determining this scope, has the organization considered: <ul style="list-style-type: none"> a) the external and internal issues referred to in 4.1.2? b) the requirements and compliance obligations of interested parties referred to in 4.1.3? c) its organizational units, locations and physical assets? d) its activities, products and services? e) its ability and authority to control and influence factors that can affect its environmental performance and internal issues? 	
4.3.	After determining its scope, does the organization ensure that all activities, products and services are included in the EMS?	
4.3.	Does the organization ensure that its EMS covers all significant environmental issues of interested parties and is maintained as documented information?	
Findings:	<input type="checkbox"/> Conformance <input type="checkbox"/> Not applicable	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement <input type="checkbox"/> Other	
Document Evidence:		
Audit Question Response:		
Opportunity for improvement:		
Corrective Action Required:		

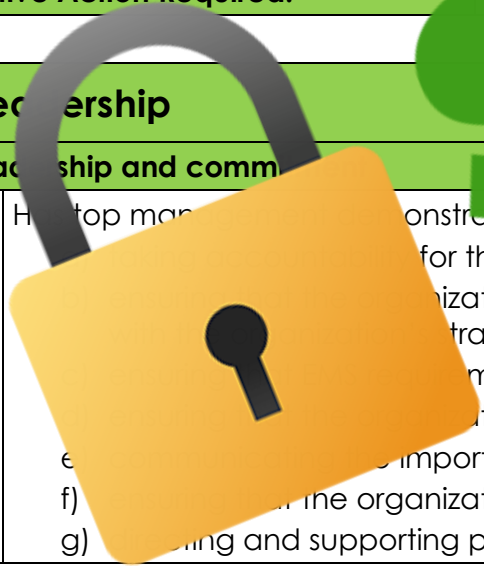
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Criterion	Observation
4.4. Environmental management system	
4.4.	Has the organization established, implemented, maintained and continually improved its EMS, including the processes needed and their interactions, in accordance with the requirements of the AS/NZS ISO 14001 Standard?
4.4.	Has the organization has considered the knowledge and information obtained by 4.1 and 4.2 when implementing and operating its EMS?
Finding:	<input type="checkbox"/> Conformance <input type="checkbox"/> Non-conformance <input type="checkbox"/> Opportunity for improvement
Document Evidence:	
Audit Question Response:	
Opportunity for improvement:	
Corrective Action Required:	

SAMPLE

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5.0. Leadership	
5.1. Leadership and commitment to the environment	
5.1.	<p>Has top management demonstrated leadership and commitment to the EMS by:</p> <p>a) defining the organization's environmental policy and objectives for the organization's EMS?</p> <p>b) ensuring that the organization's environmental policies and objectives are established and documented and are compatible with the strategic direction and context of the organization?</p> <p>c) ensuring that environmental requirements are integrated into the organization's processes?</p> <p>d) ensuring that the organization has the required resources?</p> <p>e) communicating the importance of an effective environmental management and for conforming to such requirements?</p> <p>f) ensuring that the organization's EMS achieves its intended outcomes?</p> <p>g) motivating and supporting personnel who contribute to the effectiveness of the EMS?</p>

Criterion	Observation	
	h) promoting continual improvement? i) supporting other relevant management roles to demonstrate their leadership as it applies to their area of responsibility?	
Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Not applicable
Document Evidence:		
Audit Question Response:		
Opportunity for improvement:		
Corrective Action Required:		

5.2. Environmental policy		
5.2.	Has the management established, implemented and maintained as documented an environmental policy that: <ul style="list-style-type: none"> a) is appropriate to the context, including nature, scale, and complexity of the organization's activities, products and services? b) provides a framework to establish and document environmental objectives? c) includes commitments to prevent the environment from being polluted and any other specific commitments or obligations that are relevant to the organization's context? Is the management committed to fulfil obligations deemed appropriate? Does the management intend to improve the EMS and enhance environmental performance?	
5.2.	Has the management established the environmental policy is: <ul style="list-style-type: none"> a) publicly available information? b) communicated to all employees of the organization? c) understood by interested parties? 	
Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified

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Criterion	Observation
	<input type="checkbox"/> Opportunity for improvement <input type="checkbox"/> Other
Document Evidence:	
Audit Question Response:	
Opportunity for improvement:	
Corrective Action Required:	

5.3. Organizational roles, responsibilities and authorities

5.3.	Has top management ensured that the responsibilities and authorities for relevant processes are assigned and communicated?
5.3.	Has top management assigned responsibility and authority for ensuring that: <ul style="list-style-type: none"> a) the EMS conforms to the requirements of ISO 14001 standard? b) the reporting on the performance of the EMS is, including to top management, available?
Finding:	<input type="checkbox"/> Conformance <input type="checkbox"/> Non-conformance <input type="checkbox"/> Opportunity for improvement <input type="checkbox"/> Other
Document Evidence:	
Audit Question Response:	
Opportunity for improvement:	
Corrective Action Required:	

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6.0. Planning

6.1 Actions to address risks and opportunities

6.1.1 General

Criterion	Observation
Corrective Action Required:	

6.1.2. Environmental aspects

6.1.2.	When planning for the scope of the EMS, has the organization determined the environmental aspects of the activities, products and services that it controls and can influence, and their associated environmental impacts, considering the product lifecycle?
6.1.2.	When determining applicable environmental aspects, has the organization taken into account: <ul style="list-style-type: none"> a) potential changes, including planned or new developments, and any other activities, products and services b) abnormal conditions and reasonably foreseeable emergency situations?
6.1.2.	Has the organization determined those aspects that may/potentially have a significant environmental impact based on assessment criteria?
6.1.2.	Has the organization communicated those aspects that may have a significant environmental impact throughout the various levels and functions of our organization?
6.1.2.	Does the organization maintain documented information regarding: <ul style="list-style-type: none"> – its environmental aspects and their impacts? – the criteria used to determine its significant environmental aspects? – its significant environmental aspects?

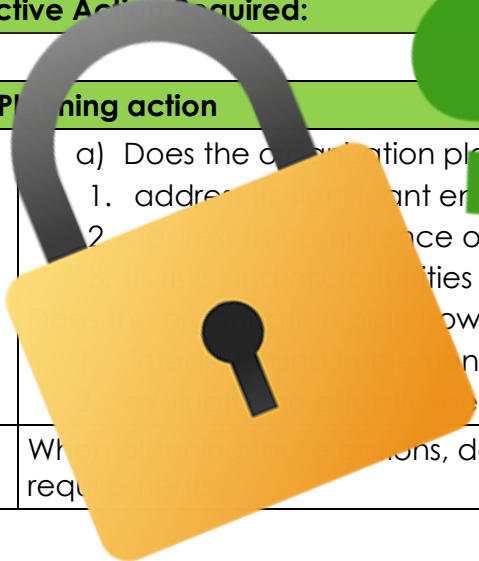
Finding:	<input type="checkbox"/> Conforms	<input type="checkbox"/> Not applicable
Document:	<input type="checkbox"/> Not applicable	<input type="checkbox"/> Not able to be verified
Audit Question:	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other
Opportunity:		
Corrective Action Required:		



Criterion	Observation
6.1.3. Compliance obligations	
6.1.3.	Has the organization: <ol style="list-style-type: none"> determined, and have access to relevant compliance obligations related to its environmental aspects? determined how these compliance obligations apply to the organization? take its compliance obligations into account when establishing, implementing, maintaining and improving its EMS?
6.1.3.	Does the organization maintain documented information of compliance obligations?
Finding:	<input type="checkbox"/> Conformance <input type="checkbox"/> Non-conformance <input type="checkbox"/> Opportunity for improvement
Document Evidence:	
Audit Question Response:	
Opportunity for improvement:	
Corrective Action Required:	
6.1.4. Planning action	
6.1.4.	a) Does the organization plan the actions to: <ol style="list-style-type: none"> address significant environmental aspects? take into account compliance obligations? How does the organization integrate the actions into its EMS process (See 6.2, 7, 8 and 9.1) or other processes? How does the organization monitor the progress of these actions (see 9.1)?
6.1.4.	When required, does the organization consider technological options and its financial, operational and other business requirements?

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Criterion	Observation	
Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other
Document Evidence:		
Audit Question Response:		
Opportunity for improvement:		
Corrective Action Required:		

6.2 Environmental objectives and planning to achieve them

6.2.1. Environmental objectives

6.2.1. Has the organization established environmental objectives that take into consideration its significant environmental aspects, associated compliance obligations, and risk and opportunities to enhance performance?

6.2.1. Are the organization's environmental objectives:

- a) consistent with the organization's environmental policy?
- b) measurable, if practicable?
- c) monitored and controlled?
- d) communicated and understood by relevant personnel?

Are the objectives maintained as documented information (See 7.5)?

6.2.1. Are the objectives maintained as documented information (See 7.5)?

Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other

Document Evidence:

Audit Question Response:



Criterion	Observation
Opportunity for improvement:	
Corrective Action Required:	

6.2.2. Planning actions to achieve environmental objectives

6.2.2.	When planning how to achieve its environmental objectives, has the organization determined: <ul style="list-style-type: none"> a) what will be done b) what resources will be required? c) who is responsible? d) when it will be completed? e) how the results are evaluated, including indicators, monitoring, and reporting of achievement of objectives?
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6.2.2.	Has the organization considered how actions to achieve its environmental objectives can be integrated into its business processes?
--------	--

Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Non-conformance
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	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other
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Document Evidence:	
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Audit Question Response:	
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Opportunity for improvement:	
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Corrective Action:	
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7.0. Management resources

7.1. Resources

7.1.	Has the organization determine and provide the resources needed for the establishment, implementation, maintenance and improvement of the EMS?
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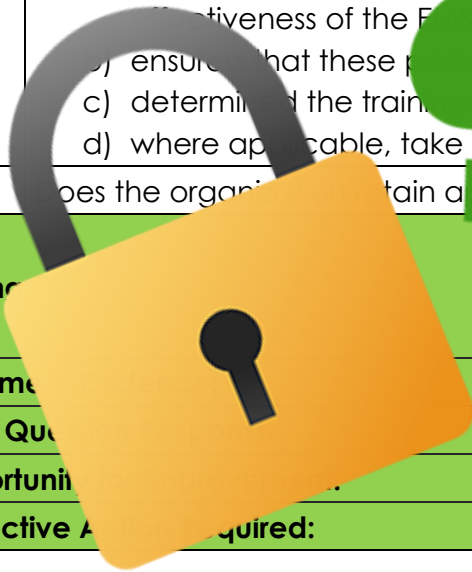
Criterion	Observation
Finding:	<input type="checkbox"/> Conformance <input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance <input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement <input type="checkbox"/> Other
Document Evidence:	
Audit Question Response:	
Opportunity for improvement:	
Corrective Action Required:	

7.2. Competence

7.2.	Has the organization: a) determined the necessary competence of persons doing work under its control, and performance and effectiveness of the EMS? b) ensured that these persons are competent on the basis of appropriate education, training, or experience? c) determined the training needs with mitigation for aspects and its EMS? d) where applicable, take action to acquire the necessary competence, and evaluate the effectiveness of the actions taken?
7.2.	Does the organization maintain adequate documented evidence of competence?

Finding:	<input type="checkbox"/> Conformance <input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance <input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement <input type="checkbox"/> Other
Document Evidence:	
Audit Question Response:	
Opportunity for improvement:	
Corrective Action Required:	

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Criterion	Observation
7.3. Awareness	
7.3.	How does the organization ensure that workers are aware of: <ol style="list-style-type: none"> the environmental policies? the relevant environmental aspects and impacts associated with their work? of their contribution to the effectiveness of the EMS, including the benefits of improved performance? the implications of not conforming to EMS requirements and not fulfilling the organization's compliance obligations?
Finding:	<input type="checkbox"/> Conformance <input type="checkbox"/> Non-conformance <input type="checkbox"/> Opportunity for improvement
Document Evidence:	
Audit Question Response:	
Opportunity for improvement:	
Corrective Action:	
7.4. Communication	
7.4.1. General	
7.4.1.	How has the organization established, implemented, and maintained the processes for internal and external communications relevant to the EMS?
7.4.1.	Does the organization: <ul style="list-style-type: none"> take into account its compliance obligations when establishing its communication process? ensure that when environmental information that is communicated, it is consistent with the information generated by the EMS?

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Criterion	Observation	
7.4.1.	Does the organization respond to relevant communications regarding its EMS?	
7.4.1.	Does the organization's EMS include documented information as evidence of communication?	
Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other
Document Evidence:		
Audit Question Response:		
Opportunity for improvement:		
Corrective Action Required:		

7.4.2. Internal communication		
7.4.2.	How has the organization implemented what: a) internally communicates information to all levels and functions in the organization, including changes to the EMS through the organization's control to contribute to continual improvement? b) communication processes ensure persons doing the work are aware of their contribution to the organization's control to contribute to continual improvement?	
Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other
Document Evidence:		
Audit Question Response:		
Opportunity for improvement:		
Corrective Action Required:		

SAMPLE

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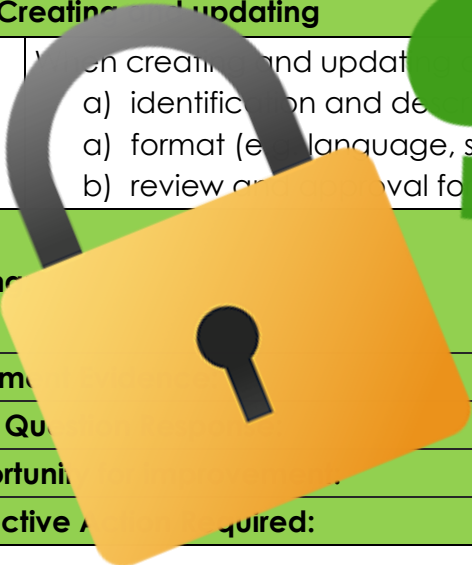


Criterion	Observation	
7.4.3. External communication		
7.4.3.	Does the organization externally communicate information relevant to the EMS, via the communications process and as required by the compliance obligations?	
Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other
Document Evidence:		
Audit Question Response:		
Opportunity for improvement:		
Corrective Action Required:		

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7.5.2 Creating and updating		
7.5.2.	When creating and updating documented information, how does the organization ensure that it is appropriate: <ul style="list-style-type: none"> a) identification and designation (e.g. title, date, author, version, etc.)? a) format (e.g. language, software version, graphics, etc.) (paper, electronic)? b) review and approval for adequacy and completeness? 	
Finding:	<input type="checkbox"/> Conformance	<input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance	<input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Other
Document Evidence:		
Audit Question Response:		
Opportunity for improvement:		
Corrective Action Required:		



Criterion	Observation
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7.5.3. Control of documented information

7.5.3.	How does the organization ensure documented information required by the environmental management system and by AS/NZS ISO 14001 is controlled to ensure: <ul style="list-style-type: none"> a) it is available and suitable for use, where and when it is needed? b) is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity)?
7.5.3.	For the control of documented information, does the organization address: <ul style="list-style-type: none"> — the distribution, access, retrieval and use? — storage and preservation, including preservation of legibility? — control of changes (e.g. version etc)? — retention and disposition?
7.5.3.	Is documented information of external origin controlled by the organization where necessary for the design and operation of the EMS identified as appropriate? <ul style="list-style-type: none"> <input type="checkbox"/> Conformance <input type="checkbox"/> Non-conformance <input type="checkbox"/> Opportunity for improvement <input type="checkbox"/> Other

Finding:	
Document Evidence:	
Audit Question Ref:	
Opportunity:	
Corrective Action:	

8.0. Operational control

8.1 Operational planning and control



Criterion	Observation
8.1.	Has the organization established, implemented, controlled and maintained the processes needed to meet EMS requirements, and to implement the actions identified in sections 6.1 to 6.2? by: — establishing operating criteria for each process? — implementing control of the processes in accordance with the operating criteria?
8.1.	Does the organization control planned changes and review the consequences of unintended changes, and taking action to mitigate any adverse effects?
8.1.	Does the organization ensure that outsourced processes are controlled and monitored?
8.1.	Has the organization: a) established controls to ensure that its environmental requirements are addressed in the design and development process for the product or service as appropriate considering the complexity of the design? b) determined environmental requirements for the product, projects and services? c) communicated the relevant environmental requirements to external providers? d) considered the need to provide information about potential significant environmental aspects related to the transportation, storage, use, end-of-life treatment and disposal of its products and services?
8.1.	Does the organization monitor and communicate information to the interested parties and have confidence that its processes are carried out as planned?
Finding	<input type="checkbox"/> Conformance <input type="checkbox"/> Not applicable
Doc	<input type="checkbox"/> Not applicable <input type="checkbox"/> Not able to be verified
Audit	<input type="checkbox"/> Improvement <input type="checkbox"/> Other
Oppor	
Correcti	

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8.2. Emergency planning and response

Criterion	Observation
8.2.	Has the organization established, implemented and maintained the processes required to prepare for and to respond to potential emergency situations identified in section 6.1.1?
8.2.	<p>Does the organization:</p> <ul style="list-style-type: none"> a) prepare and respond by planning actions to prevent or mitigate adverse environmental impacts arising from emergency situations? b) respond to emergency situations? c) take action to prevent or mitigate the consequences of emergency situations appropriate to the nature and severity of the emergency and the potential environmental impact? d) periodically test the planned responses where practicable? e) periodically review the planned responses, particularly in the event an emergency situation has occurred? f) provide relevant information and training to employees, contractors and preparatory personnel, and to interested parties and staff?
8.2.	Does the organization maintain documented evidence of the implementation of the processes to ensure that its processes are carried out as planned?
Finding:	<input type="checkbox"/> Not applicable
Finding:	<input type="checkbox"/> Non-conformance
Finding:	<input type="checkbox"/> Not able to be verified
Finding:	<input type="checkbox"/> Other
Document reviewed:	
Audit Question:	
Opportunity:	
Corrective Action:	

SAMPLE

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Criterion	Observation
9.0. Performance evaluation	
9.1. Monitoring, measurement, analysis and performance evaluation	
9.1.1. General	
9.1.1.	Does the organization monitor, measure analyze and evaluate its environmental performance?
9.1.1.	<p>How does the organization determine:</p> <ul style="list-style-type: none"> a) what needs to be monitored and measured: b) the methods for monitoring, measurement, analysis and evaluation needed to ensure results? c) the criteria against which the organization evaluates its environmental performance and appropriate indicators? d) when the monitoring and measuring shall be performed? e) when the results from monitoring and measurement shall be analyzed and evaluated?
9.1.1.	Does the organization ensure that calibrated or verified monitoring and measurement equipment is used and maintained as required?
9.1.1.	Does the organization evaluate its environmental performance and the effectiveness of the EMS?
9.1.1.	Does the organization internally and externally communicate its environmental performance as required by its communication process and its compliance obligations?
9.1.1.	Does the organization maintain documented information as evidence of monitoring, measurement, analysis and evaluation of results?
Findings	<input type="checkbox"/> Conformant <input type="checkbox"/> Non-conformance <input type="checkbox"/> Opportunity for improvement <input type="checkbox"/> Not applicable <input type="checkbox"/> Not able to be verified <input type="checkbox"/> Other
Document Evidence:	
Audit Questions:	
Opportunities:	
Corrective Actions:	

SAMPLE

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Criterion	Observation
9.1.2. Evaluation of compliance	
9.1.2.	Has the organization established implemented and maintained processes to evaluate the fulfilment of its compliance obligations?
9.1.2.	Has the organization: <ul style="list-style-type: none"> a) determined the frequency that compliance is evaluated? b) evaluated compliance and take action where required? c) maintained knowledge and understanding of its compliance status?
9.1.2.	Does the organization maintain documented information as evidence of compliance evaluation results?
Finding:	<input type="checkbox"/> Conformance <input type="checkbox"/> Non-conformance <input type="checkbox"/> Opportunity for improvement
Document Evidence:	
Audit Question Response:	
Opportunity for Improvement:	
Corrective Action Required:	
9.2. Internal audit	
9.2.1. General	
9.2.1.	Does the organization conduct internal audits at planned intervals to provide information on whether the environmental management system conforms to its own EMS? <ul style="list-style-type: none"> a) Does the organization conduct internal audits to ISO 14001? b) Does the organization conduct internal audits to verify whether the EMS is effectively implemented and maintained?

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Criterion	Observation
Finding:	<input type="checkbox"/> Conformance <input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance <input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement <input type="checkbox"/> Other
Document Evidence:	
Audit Question Response:	
Opportunity for improvement:	
Corrective Action Required:	

9.2.2. Internal audit programme

9.2.2.	Does the organization plan, establish, implement and maintain an audit programme/plan which takes into consideration the frequency, methods, responsibilities, planning requirements and resources, which take into consideration the processes concerned, changes affecting the organization and the results of previous audits?
9.2.2.	Does the organization consider the importance of the processes concerned in determining the organization, and the results of previous audits?
9.2.2.	Does the organization: <ul style="list-style-type: none"> a) define the audit criteria and scope for each audit? b) select and conduct audits to ensure the impartiality of the audit process? c) report the results of the audits to the relevant management?
9.2.2.	Are there any documents or records which can be used as evidence of the implementation of the audit programme and the audit results?

Finding:	<input type="checkbox"/> Conformance <input type="checkbox"/> Not applicable
	<input type="checkbox"/> Non-conformance <input type="checkbox"/> Not able to be verified
	<input type="checkbox"/> Opportunity for improvement <input type="checkbox"/> Other
Document Evidence:	
Audit Question Response:	

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Criterion	Observation
Opportunity for improvement:	
Corrective Action Required:	

9.3. Management review

9.3.	How does top management review the EMS at planned intervals and how does the review consider the con...
9.3.	Does the organization's management review consider: <ul style="list-style-type: none"> a) the status of actions from previous management reviews? b) changes in: <ol style="list-style-type: none"> 1. external and internal issues that are relevant to the environment and the EMS? 2. needs and expectations of interested parties, including compliance obligations? 3. Its significant environmental aspects? 4. risks and opportunities? c) the extent to which environmental objectives have been achieved? d) information on the performance of the EMS on: <ol style="list-style-type: none"> 1. nonconformities and corrective actions? 2. monitoring and measurement results? 3. fulfillment of compliance obligations? 4. audit results? e) resources? f) communication with interested parties including complaints? g) continual improvement?
9.3.	Does the management review include: <ul style="list-style-type: none"> a) suitability, adequacy and effectiveness of the EMS? b) opportunities for continual improvement? c) information relating to the need for changes to the EMS, including resources?

SAMPLE

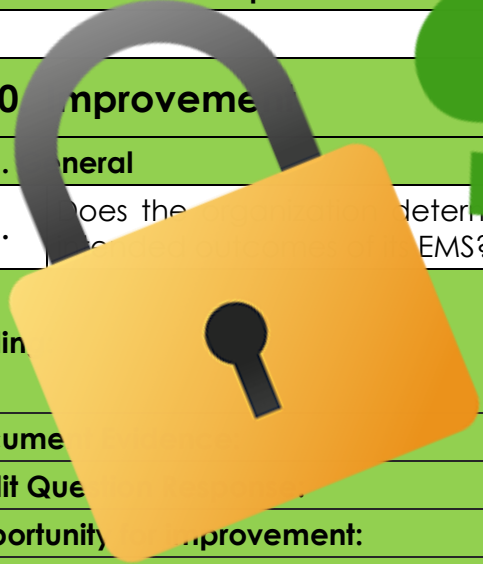
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Criterion		Observation	
	<ul style="list-style-type: none"> — the actions necessary when objectives are not achieved? — opportunities to improve the integration of the EMS with other business processes as required? — implications for the organization's strategic direction? 		
9.3.	Does the organization retain documented information as evidence of the results of management reviews?		
Finding:	<input type="checkbox"/> Conformance <input type="checkbox"/> Non-conformance <input type="checkbox"/> Opportunity for improvement		
Document Evidence:			
Audit Question Response:			
Opportunity for improvement:			
Corrective Action Required:			
10.0 Improvement			
10.1 General			
10.1.	Does the organization determine and provide resources for improvement and implement any necessary actions to achieve the objectives of the EMS?		
Finding:	<input type="checkbox"/> Conformance <input type="checkbox"/> Non-conformance <input type="checkbox"/> Opportunity for improvement	<input type="checkbox"/> Not applicable <input type="checkbox"/> Not able to be verified <input type="checkbox"/> Other	
Document Evidence:			
Audit Question Response:			
Opportunity for improvement:			
Corrective Action Required:			

SAMPLE

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Criterion	Observation
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10.2. Incident, nonconformity and corrective action

10.2.	When a nonconformity occurs, how does the organization: <ol style="list-style-type: none"> a) react to the non-conformity? <ol style="list-style-type: none"> 1. take action to control and correct it? 2. deal with the consequences? b) evaluate the need for action to eliminate the cause(s) of the nonconformity, for those that do not recur or else elsewhere by: <ol style="list-style-type: none"> 3. reviewing and analyzing the non-conformity? 4. determining the causes of the nonconformity? 5. determining if similar nonconformities have occurred or could occur elsewhere? c) implementing actions required? d) review the effectiveness of any corrective action taken? e) make changes to the EMS when necessary?
10.2.	Does the organization ensure that corrective actions are appropriate to the severity of the nonconformities encountered, including environmental impacts?
10.2.	Does the organization retain documented information as evidence of the nature of the non-conformities and any corrective actions taken? — the results of the corrective action?
Findings	<input type="checkbox"/> Not applicable <input type="checkbox"/> Not able to be verified <input type="checkbox"/> Other
Documentation	Opportunity for improvement
Audit Questions	
Opportunities for Improvement	



Criterion	Observation
Corrective Action Required:	

10.3. Continual improvement	
10.3.	Does the organization continually improve the suitability, adequacy and effectiveness of the EMS in order to enhance its environmental performance?
Finding:	<input type="checkbox"/> Conformance <input type="checkbox"/> Non-conformance <input type="checkbox"/> Opportunity for improvement
Document Evidence:	
Audit Question Response:	
Opportunity for Improvement:	
Corrective Action Required:	

SAMPLE

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knowledge
 Environmental
 staff
 and thank
 wishes
 cooperation and assistance provided by the management
 to the audit process.

report
 matters, which were made evident to the auditor at the time of the audit, and
 ee's
 and the preparation undertaken.