

ISO 14001:2015 Auditor Cheat Sheet



Clause 4: Context of the Organisation

4.1 Understanding the Organisation & Context

- **What to look for:** External/internal issues (e.g. legal changes, stakeholder pressure)
- **How to audit it:** Interviews with top management; Check risk registers or SWOT analyses

4.2 Needs & Expectations of Interested Parties

- **What to look for:** List of stakeholders (clients, regulators, neighbours)
- **How to audit it:** Stakeholder register or similar; Evidence of review and updates

4.3 EMS Scope

- **What to look for:** Clear boundaries of EMS
- **How to audit it:** EMS manual or scope statement; On-site activities match declared scope

4.4 EMS System

- **What to look for:** Documented structure of the EMS
- **How to audit it:** Flowcharts, procedures, and roles defined

Clause 5: Leadership

5.1 Leadership & Commitment

- **What to look for:** Involvement of leadership in EMS
- **How to audit it:** Interview top management; Evidence of leadership involvement

5.2 Environmental Policy

- **What to look for:** Policy commitment to improvement & compliance
- **How to audit it:** Visible policy, staff awareness; Reviewed and authorised

5.3 Roles & Responsibilities

- **What to look for:** Assigned environmental responsibilities
- **How to audit it:** Org charts, job descriptions, delegation of EMS tasks

Clause 6: Planning

6.1.1 Risks & Opportunities

- **What to look for:** Risks to EMS performance addressed
- **How to audit it:** Risk and opportunity register; Mitigation actions

6.1.2 Environmental Aspects

- **What to look for:** Significant aspects & impacts identified
- **How to audit it:** Aspect register with significance criteria; Operational controls

6.1.3 Compliance Obligations

- **What to look for:** Legal and other applicable requirements
- **How to audit it:** Legal register; Updates and evaluations

6.2 Environmental Objectives & Planning

- **What to look for:** SMART objectives with planning
- **How to audit it:** Objective trackers, plans, reviews

Clause 7: Support

7.1 Resources

- **What to look for:** Resources allocated for EMS (people, tools)
- **How to audit it:** Budget, personnel, infrastructure

7.2 Competence

- **What to look for:** Staff skills match EMS roles
- **How to audit it:** Training records, competence matrix

7.3 Awareness

- **What to look for:** Staff awareness of EMS responsibilities
- **How to audit it:** Interviews, toolbox talks, posters

7.4 Communication

- **What to look for:** Internal & external EMS communications
- **How to audit it:** Logs, emails, newsletters

7.5 Documented Information

- **What to look for:** Controlled documents & records
- **How to audit it:** Version control, accessibility, backups

Clause 8: Operation

8.1 Operational Planning and Control

- **What to look for:** SOPs for key environmental operations
- **How to audit it:** Procedures, visual controls, equipment maintenance

8.2 Emergency Preparedness

- **What to look for:** Emergency response plans tested
- **How to audit it:** Drills, spill kits, training logs

Clause 9: Performance Evaluation

9.1.1 Monitoring, Measurement

- **What to look for:** Key metrics tracked (waste, energy, emissions)
- **How to audit it:** Logs, reports, graphs

9.1.2 Evaluation of Compliance

- **What to look for:** Regular checks on legal compliance
- **How to audit it:** Audit reports, action logs

9.2 Internal Audit

- **What to look for:** EMS audits planned & conducted
- **How to audit it:** Audit plan, checklists, NCs

9.3 Management Review

- **What to look for:** Top management reviews EMS
- **How to audit it:** Meeting minutes, decisions, actions

Clause 10: Improvement

10.1 Nonconformity & Corrective Action

- **What to look for:** NCs logged, root cause analysis done
- **How to audit it:** Corrective action register, verification evidence

10.2 Continual Improvement

- **What to look for:** Evidence of EMS improvement
- **How to audit it:** Project records, updates to objectives or controls

Bonus: Key Records to Check

- **What to look for:** Legal register
- **What to look for:** Environmental aspect register
- **What to look for:** Training and awareness logs
- **What to look for:** Emergency drill records
- **What to look for:** Audit reports
- **What to look for:** Management review minutes
- **What to look for:** Objective tracking sheets
- **What to look for:** Waste removal certificates

