

# ISO 14001:2015 (whole Part)

## Audit Checklist

93 audit questions across 7 sections.

### HOW TO USE THIS CHECKLIST

Each question has three boxes the auditor fills in during the audit:

1. **Compliance** — the binary headline: Compliant / Non-compliant.
2. **Classification** — where the gap is, four-state grid: Documented / Implemented matrix.
3. **Finding level** — severity: Maj / Min / Obs (Major nonconformity / Minor nonconformity / Observation).

Severity is the auditor's call on the day, against the real finding — no severity is pre-suggested per question.



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## Context of the organization

**Q1** CLAUSE

ISO 14001 Cl.4.1

Has the organisation determined the external and internal issues relevant to its purpose that affect its ability to achieve the intended outcomes of its environmental management system – including the environmental conditions being affected by, or capable of affecting, the organisation?

**SOURCE VERBATIM**

Cite ISO 14001:2015 Clause 4.1.

**COMPLIANCE**

Compliant  Non-compliant

**CLASSIFICATION (FOUR-STATE)**

- Documented and Implemented
- Documented Not Implemented
- Not Documented but Implemented
- Not Documented and Not Implemented

**FINDING LEVEL**

Maj  Min  Obs  
Maj = Major nonconformity · Min =  
Minor nonconformity · Obs =  
Observation

**SUGGESTED EVIDENCE TO REQUEST**

- Context analysis covering internal/external issues
- Explicit treatment of environmental conditions affecting or affected by the organisation

**MANAGEMENT SYSTEM REFERENCE:**

**FINDINGS / NOTES:**

Has the organisation determined the interested parties relevant to the EMS, their relevant needs and expectations (requirements), and which of those needs and expectations become its compliance obligations?

**SOURCE VERBATIM**

Cite ISO 14001:2015 Clause 4.2.

**COMPLIANCE**

Compliant  Non-compliant

**CLASSIFICATION (FOUR-STATE)**

- Documented and Implemented
- Documented Not Implemented
- Not Documented but Implemented
- Not Documented and Not Implemented

**FINDING LEVEL**

Maj  Min  Obs  
 Maj = Major nonconformity · Min = Minor nonconformity · Obs = Observation

**SUGGESTED EVIDENCE TO REQUEST**

- Interested-party register with relevant needs/expectations
- Determination of which needs/expectations become compliance obligations

**MANAGEMENT SYSTEM REFERENCE:**

**FINDINGS / NOTES:**

Has the organisation determined the boundaries and applicability of the EMS to establish its scope – considering the external/internal issues (4.1), the compliance obligations (4.2), its organisational units/ functions/physical boundaries, its activities/products/services, and its authority and ability to exercise control and influence?

**SOURCE VERBATIM**

Cite ISO 14001:2015 Clause 4.3.

**COMPLIANCE**

Compliant  Non-compliant

**CLASSIFICATION (FOUR-STATE)**

- Documented and Implemented
- Documented Not Implemented
- Not Documented but Implemented
- Not Documented and Not Implemented

**FINDING LEVEL**

Maj  Min  Obs  
 Maj = Major nonconformity · Min = Minor nonconformity · Obs = Observation

**SUGGESTED EVIDENCE TO REQUEST**

- Documented EMS scope statement reflecting the 4.3(a)-(e) considerations

**MANAGEMENT SYSTEM REFERENCE:**

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**FINDINGS / NOTES:**